

# COMPREHENSIVE DISTRICT IMPROVEMENT PLANNING

FRAMEWORK FOR DISTRICTS  
APRIL 2004



Gene Wilhoit, Commissioner of Education

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# PLANNING PROCESS OVERVIEW

Kentucky's improvement planning process is designed to include all stakeholders (parents, staff and administrators) in creating a plan to ensure that all students show continuous academic improvement. The planning process accomplishes this task in several ways.

- It is used by districts to determine what their vision, mission, and belief statements are
- It drives the district needs assessment process to determine what the district must do to help schools increase student performance.
- It builds upon the policy role of the local board of education and school-based decision making councils (SBDM) to provide systemic methods for improvement planning.
- It ensures that planning is comprehensive in that all grant programs and other initiatives are rolled into a single district plan that will support school improvement.
- It allows local districts to integrate and leverage funding sources to make sure that the improvement plan is fully implemented.

The planning process is an on-going one. It should be driven by student needs in schools across the district. As new needs arise, modifications should be made to the district plan. There is no magical timeline to follow to make these modifications. The only requirements that districts have in regards to official modifications is that assurances must be approved by the local board and district plans must be revised and posted to the district web page before July 1 of each year, and that the final budget must be posted in MUNIS by grant and by location on the district web page by September 30 of each year.

The planning process in a district has multiple steps, beginning with the development of statements that reflect the vision, mission and beliefs of the district. This is followed by a needs assessment in which data is studied to determine the priority needs of the district. Next is an analysis of the causes for those needs. Once root causes of the needs are identified, overall goals are written to address the priority needs. This is followed by measurable objectives and activities that are designed to implement the objectives. Then, the district must look at available resources to determine how to fund the activities.

Once the plan is developed, the district planning committee will monitor the activities laid out in the plan to ensure that they are implemented effectively. Once implemented, procedures must be put in place to evaluate the effectiveness of each activity. As these activities are evaluated the plan should be revised to modify or eliminate weak activities and create new ones if they are needed to accomplish the objective.

Always remember, a high quality plan is developed with input from all stakeholder groups. It has activities that are clearly focused on improving student achievement. In addition, a high quality plan has strong vision, mission, and belief statements as the foundation to guide the people that must implement the plan.

# POLICY STRUCTURE

While this Guidebook was being developed, several questions emerged that need to be addressed at the district level rather than the state level. Each district's leaders need to check their own policies and procedures to be sure these questions are addressed.

## NEEDS ASSESSMENT

### What student performance data will be used?

The first part of a comprehensive needs assessment looks at student performance. State law requires a school level examination of CATS data, including disaggregated results, on an annual basis.

For school-level planning, district planning policy and procedures should:

- Restate the annual requirement to analyze CATS results.
- Identify how classroom assessment data is to be used.
- Identify how other assessment data is to be used. Examples might include ACT, SAT, added years of CTBS, or any other assessment used in the district.

At the district level, the district policy and procedures should:

- Specify how CATS data will be used.
- Specify how classroom assessment data will be used.
- Specify how other assessment data will be used.

### What methods will be used to analyze school and district practices?

The second part of a comprehensive needs assessment looks at the school and district practices that contribute to that performance. There is no statewide mandatory process for analyzing school and district practices as part of needs assessment. Instead, each district's policy and procedures need to establish methods for this work. The Standards and Indicators for School and District Improvement (SISI/SIDI) are two separate documents that are designed to help a school or district analyze their current practices against a set of high standards for academic achievement, environment and efficiency.

In the Assurances submitted to the Kentucky Department of Education, each district will have two options:

1. You may state that your policies and procedures require school and district processes that review the school's alignment with each portion of the Standards and Indicators for School and District Improvement.
2. You may identify another approach for this part of needs assessment, explain how it works, and explain how your method is comprehensive.

If you choose the second option, KDE may seek additional information and dialogue to understand your approach.

### What timetable will be used to analyze school and district practices?

Districts also decide the schedule for this part of the needs assessment.

In the Assurances submitted to the Kentucky Department of Education, each district will have two options:

1. You may state that your policies and procedures set a schedule for complete analysis of needs assessment data at least once every three years. (For example, a district that required a complete SIS/SIDI-aligned needs assessment once every two years would meet this requirement. A district that identified one – third of the Indicators to be examined each year would also fit, and many other combinations are possible.)
2. You may state that your policies and procedures allow a timetable longer than three years, and explain why you think that your timetable yields current and comprehensive understanding of school needs.

If you choose the second option, KDE may seek additional information and dialogue to understand your approach.

## **COMPONENT FORMAT**

Your policy and procedures should establish what schools and the district will use for action plan components. Options include:

- The KDE Action Plan format (Download from KDE web page: <http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/default.htm>) Click on KDE Planning Tools link.
- The KASC Action Plan format developed by the Kentucky Association of School Councils (Download from KDE web page: <http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/default.htm>) Click on KDE Planning Tools link. (The primary difference between the two formats is that KDE's version calls for Causes and Evidence to be listed in a single space while KASC's provides a separate evidence section.
- Another Action Plan format developed locally, so long as the format includes recommended elements found in the Kentucky Department of Education Action Plan format.

## **SCHEDULE FOR PLAN REVISIONS**

When is each step in district planning due?

When is each step in school-level planning due?

Only a few dates in the planning process are in state law:

- February 1 in each odd-numbered year for school-level decisions on achievement gap targets. (Note: KDE recommends that councils try to set their targets much earlier, to allow additional time for school plan revisions and for any needed dialogue with district leaders about the targets.)

- April 1 in each odd-numbered year for school-level decisions on plan revisions to meet achievement gap targets.
- July 1 for web-posting of district plans in order to receive categorical funding.

State laws and regulations set some additional dates to consider:

- January 31 for board review of a draft budget.
- March 1 for council staff and minimum allocations and for state filing of any revisions to staffing policies.
- April 30 for contract renewal notices—which means districts normally need council staffing decisions by April 1.
- May 30 for Section 7 allocations.

Keeping these dates in mind, your policy and procedures should also set out dates for each major step in revising school plans. A combined schedule for schoolwork and district work can make it easy for information to flow both ways, and for the two levels of planning to support one another. A clear schedule can also reinforce careful attention to data, stakeholder participation, and effective planning.

KDE suggests a planning schedule like the one shown on pages 29 and 30. Districts may use or alter that schedule or design their own, provided their process takes into account the legally required dates listed above.

## **IMPLEMENTATION AND IMPACT CHECKS**

### *When and how will districts check that plans are being carried out and achieving results?*

Federal law requires each district to monitor plan implementation and impact each year. Best practice suggests that multiple checks each year will do far more to ensure successful change in district practices and in student performance. Each district should establish its format and schedule for checking implementation and impact in their policy and procedures.

### *When and how will schools check that plans are being carried out and achieving results?*

Schools also need to take regular responsibility for the status of their plans. KDE recommends that district policy and procedures call for schools to complete multiple checks per year to stay current on how well the school plan is implemented and whether the plan activities are having the expected impact on student performance. Schools should use the method and format established in board policy for checking implementation and impact.

## **ORGANIZATION FOR DISTRICT PLANNING ACTIVITIES**

Your policy and procedures should also clarify how district-level planning work will be organized, answering questions like these:

- What committees will participate? If there will be more than one, how will they coordinate their work?
- How will committee members be chosen?
- How will various groups of stakeholders be represented?
- Who will develop needed financial information?
- How will the board be kept informed about planning work done each month?

## **RECORD-KEEPING**

The state archive rules require that school and district Plans be retained for a minimum of five years. Your policy and procedures should support that requirement.

Beyond that, the plans are built on a variety of data and the analysis of that data. That information needs to be available for local citizens and also for any state and federal reviews of your process. Your policy and procedures should spell out what must be kept on file and how long those files must be kept.

## **ELECTRONIC ACCESS**

Your policy and procedures should also clarify how school and district Plans will be made available to KDE and the public, answering questions like these:

- How will schools deliver their plans electronically to the district?
- Who will collect the electronic copies and post the school and district plans on the district web page?
- Who will send email to KDE Assurances after the board meeting when they are approved?
- Who will post the final district budget by Grant and by Location on the district web page?

# NEEDS ASSESSMENT

## ORGANIZE FOR THIS WORK

Consult your district's policy and procedures on improvement planning for methods and schedules for this work.

## ANALYZE STUDENT PERFORMANCE

Using methods that fit your district policy and procedures:

- Engage an appropriate set of other stakeholders in reviewing performance data. Those stakeholders must include: parents, faculty, staff, and other interested parties. On any committee, the ethnic diversity of the community must have reasonable representation, and minority participation must be continually encouraged.
- Analyze the Kentucky Performance Reports for each level of schools, looking at key numbers and listening to the thoughts from the other stakeholders who review the data.
- Analyze other data on student performance, including results of testing for other grades and for college admissions, and also results of your classroom assessments of student progress.
- Consider how the results relate to the district mission and goals and the state goal of proficiency for all students.
- Hear and discuss reports on school-level reviews of such data.
- Share questions, thoughts, and concerns about the student performance data with school councils and other school-level planning participants.

## ANALYZE DISTRICT PRACTICE

Using methods that fit your district policy and procedures:

- Engage an appropriate set of other stakeholders in reviewing district-level data. Those stakeholders must include: parents, faculty, staff, and other interested parties. On any committee, the ethnic diversity of the community must have reasonable representation, and minority participation must be continually encouraged.
- Use the best available data from multiple sources, including educational research. *Remember that federal law in No Child Left Behind emphasizes the use of research-based strategies and programs for improving student performance.*
- Hear and discuss reports on school-level reviews of data on school practices, and share thoughts about those results with the school council and other school level-planners.



## REVIEW IMPLEMENTATION AND IMPACT CHECK DATA

Remember that your Implementation and Impact Checks will also have data on the status of your Plan. Review that data and consider it as you make your revisions. (More information on these Checks can be found on page 26.)

## REVISE PRIORITY NEEDS

Based on the data you have reviewed up until now and the input you receive from other stakeholders:

- Decide if any of the Priority Needs currently listed is no longer a Priority, either because it has been met or because some other issue is now deemed more important. If you decide a Need is no longer a Priority, you will in effect be deciding to retire the component developed to address that need.
- Decide whether to restate any of the Priority Needs based on more recent data.
- Decide if any new Priority Needs have emerged.

## REVISE CAUSES

### For Existing Priority Needs

Based on the data you have reviewed and the input from other stakeholders:

- Decide whether the Causes listed for those Needs are still accurate.
- Decide whether to add, change, or remove any Cause statements.
- Decide how to revise the evidence showing each Cause that is still to be addressed.

### For New Priority Needs

Based on the data and stakeholder input:

- Decide which weaknesses shown in that analysis are the most important Causes of the new Need.
- Identify the evidence that shows those Causes most clearly.

## TAKE ADDED STEPS ON ACHIEVEMENT GAPS

At the district level, both superintendent and board have roles to play in dealing with each school's achievement gaps. The main role will be in approving targets set for closing those gaps. Prepare for that work by understanding the data that may show such gaps. Ask your councils and their committees to share what they identify, and share any thoughts and concerns identified from across the district.

# INTEGRATE SCHOOL AND DISTRICT PLANNING

Work with your schools in each step of this work. Your Priority Needs and Causes may be related to the issues they are seeing, and their thoughts may help you understand your own situation better. In your Goals and Objectives, their ideas may also change your thoughts. If that dialogue provides reasons to revise your initial decisions, make the needed changes.

## COMPLETE THE FORMS

### New Components

Use a district improvement plan format that fits your local board policy and procedures.

For each new component, enter your Priority Needs, your Causes, and supporting evidence in the appropriate spaces.

### Revised Components

For each component you are revising, enter the appropriate changes.

### Process Summary

When you compile your complete Plan, your Executive Summary section will include a description of the steps and participants that created the Plan. To explain the work you have done under this chapter, your Process Summary section will:

- List the dates your Planning Committee(s) made decisions on Priority Needs and Causes.
- List the dates when those decisions were shared with your board of education.
- Identify stakeholders who participated, and include information on who represented parents, certified staff, classified staff, and the ethnic and cultural diversity of your community

More detailed instructions for the Process Summary begin on page 20.

### Minutes

In the board minutes, include each decision on Priority Needs and Causes. Also include charges to any committees assigned to participate in this analysis.

In the minutes for any committee that participated in this work, include each decision made about recommendations to the board.

### Other Records

Information that is the basis for your current Plan needs to be available for review by local citizens and by state, and federal officials. Check your board policy and procedures for rules on how long to keep your files of data and other records about this work.

# ACTION COMPONENTS

## ORGANIZING FOR THIS WORK

Your components must be developed with active involvement of parents, certified and classified staff, and other interested stakeholders. The ethnic diversity of the community must be represented and minority participation must be continually encouraged.

It is best practice for the board to ask one or more planning committees to develop drafts of the revised and new components. This detailed work is where committees can make their best contributions, and their involvement broadens the understanding and support for the resulting components.

## REVISE GOALS AND OBJECTIVES

### For Existing Priority Needs

Based on the data and stakeholder input:

- Decide if the Goal is still appropriate or if it needs revision. Those revisions may be as simple as changing a particular result number or a date or as complex as a complete rewrite. If you have changed your Priority Need statement, check that the Goal is still a good match.
- For each Goal, decide if the Objectives are still appropriate or if they need revision. If you have changed some of your Causes, check that the Objectives are still a good match.
- Review the planned measures for each Objective, and decides on any needed updates and adjustments.

### For New Priority Needs

Based on the data and stakeholder input:

- Set a Goal in relation to the Priority Need. Where the Priority Need describes a past situation that is not as strong as you would like, the Goal describes a better result for the district and the date by which it will be achieved.
- Set Objectives in relation to the Causes. Again, you are stating the better future practices that will remove the Causes you identified, and that will also allow you to meet the goal.
- Set measures for each Objective. These will not always match the evidence you used for Causes. The important thing is that you have some clear ways you will tell that you are making progress to each Objective.

## **REQUIREMENTS FOR THE TOTAL SET OF COMPONENTS**

Taken as a whole, your Plan must support reaching state and federal goals for student achievement. Once the plan is complete, you will need to review your Goals and Objectives to be sure those expectations are clearly included and addressed.

## **APPROVE SCHOOL-LEVEL GAP TARGETS**

April 2003, school councils are required to set two year targets for closing their substantive achievement gaps.

Councils complete their work no later than February 1 of each odd-numbered year (and KDE recommends that they set targets much earlier).

After that, the council and the superintendent must agree on the two-year targets. If there is initial disagreement, council and superintendent must discuss their thoughts and concerns until they can agree on shared targets.

Finally, the board must also adopt the targets. Again, if there is initial disagreement, the council, superintendent, and board must discuss their thoughts and concerns until they can agree on shared targets.

Once targets are agreed upon and approved, the component managers and the district planning team should review the school targets to ensure that the district plan is providing adequate support for schools as they work toward closing all substantive achievement gaps.

## **SELECT COMPONENT MANAGERS**

Each component will need a person assigned to keep track of the overall progress of the work. He or she will have an ongoing role in helping district leaders, the people listed as responsible for specific activities, and others understand and carry out the component and achieve its Goals and Objectives.

Ideally, a component manager will be involved from the earliest work drafting the component until the goal is fully achieved. That creates the best “institutional memory” for the change process. Naturally, that is only an ideal: expect that sometimes that will not be possible, and adjust as needed.

## **DESIGN ACTIVITIES AND IMPACT**

Your activities create a sequence of learning about change, implementing change, and tracking implementation. Taken together, the activities are the district’s main systemic change initiatives, altering district practice, including district support for curriculum and instruction, professional development, staffing, spending, and other facets of your work.

The activities only matter if they have an impact. For existing components, check activities to be sure they are strong enough to meet the Goals and Objectives. Add, subtract, reorganize or clarify as needed to have a clear, effective outline for the future.

For new components, develop a sequence of activities for each Objective. Then test each by writing down how it will have an impact on reaching that Objective and the Goal. If you cannot explain the impact, do some more thinking about the activity.

## **ADD START DATES AND END DATES**

The starting and ending dates create a timetable for the work in each component. Often, the activities to achieve an objective will involve a sequence of steps starting with staff awareness, working through more advanced professional development and other preparation activities, followed by initial implementation in classrooms or other kinds of work, followed by further collaboration and reflection to refine that work, followed by steps to evaluate the impact. In a sequence like that, it is important to organize the start and end times for each activity so that they can deliver the objectives on time.

For new components, arrange your activities for each Objective in a roughly chronological order. Because activities sometimes overlap, this may not be completely exact, but try to organize the Plan so that it is fairly easy to read as a narrative.

Then “begin with the end in mind.” One way to do this is start with the last activity in your order, the last step you will take to reach your Objective and Goal. Decide when that work needs to be solidly in place, and make that the end date for that activity. Then work your way up the list, with dates for each other activity, filling in end dates that will allow the whole sequence to work.

When you have a complete list of end dates, repeat the process for the start dates, starting at the end and working backward.

As you do this work, expect to learn some things about the activities and make some revisions to that part of your work. Those revisions are a healthy sign that your group is still analyzing and learning about the issues.

For existing components, use the same method to check the sequence of activities and fill in dates for any activities you have added.

## **ADD RESPONSIBLE PERSONS**

For each activity, some named individual needs to provide energy, leadership and guidance. Frequently, many different people will do part of the work, so this role is about having someone who helps all those people remember, understand, and succeed. The responsible persons keep the activities on track for the whole team.

For new components, identify people by name that could provide good leadership for each step, and ask them to take on this responsibility. (Listing only a role, such as “*Principals*” does not help to ensure plan implementation.) Expect the person who is

responsible to ask questions and contribute further ideas, and be willing to use what they say to make further adjustments in the Plan.

For existing components, discuss the activities with the people who are currently listed as responsible. You may need to change some of the names as a result of those discussions, and you may also receive some helpful additional thoughts on what may need to be clarified or revised.

## **COLLABORATE ACROSS THE DISTRICT**

As you develop drafts, share them with leaders at all the schools, and review the drafts of the school Plans as they develop. Expect this to be a two-way dialogue, and to receive some additional ideas. Use what you learn to revise and strengthen your later drafts. The district plan should support school planning and professional development efforts.

As you work through the collaboration process, it is important to remember that both state law for professional development and federal law for Title 1 require that the district staff (e.g. professional development coordinator and federal programs coordinator) work with schools to coordinate and leverage state and federal grant dollars for teacher training. Evidence kept at the district level should show this type of collaboration with schools.

## **COMPLETE THE FORMS**

### *New Components*

Enter each Goal beside the appropriate Priority Need, with Objectives and their evidence below that. Number the Objectives so that it will be easy to connect them to activities.

Enter each activity in a separate row, followed by an explanation of its impact, its start and end dates, and the person responsible, each in the appropriate column.

Put all the activities for each objective together, and be sure it is clear which objective is being addressed. In the KDE and KASC formats, the left most column of the activity page provides a space to do this.

### *Revised Components*

Enter any needed revisions and additions in the appropriate spaces.

### *Process Summary*

List the committees that developed each component. Identify the stakeholders who participated and their roles. Include information on who represented parents, certified staff, classified staff, and the ethnic diversity of your community.

List dates the committees decided on Goals and Objectives, and when those decisions were shared with the board of education.

### Minutes

In the minutes for each committee, summarize the work done at each meeting, and include each decision made about recommendations to the board.

In the board minutes, report each time the board reviewed component drafts, and include any formal motions and actions the board took about those drafts. Also include charges to each committee that works on components.

Also in the board minutes, list date(s) when the board adopted Gap Targets agreed to by the council and superintendent.

# BUDGET

## A REMINDER

One purpose of Comprehensive Improvement Planning is to pull all your resources together in a systemic approach to moving all students to proficiency. To do that, you must look at the full range of money issues. Your General Fund needs to be included along with all the categorical programs, grants, and other funding available to your school system.

In each round of revisions, remember to look both at the coming school year and future years. For the coming school year, you have fairly firm figures to work with, and you should end up with a Plan you can afford. For later years, you cannot get as defined a picture, but you need to do the best thinking you can about how you will meet the costs of the work you have planned.

The Kentucky Department of Education has a web page devoted to Funding and Finance issues for planning:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

This web page contains the most up-to-date information about how state and federal funds can be used (by MUNIS code) and how to work with expenditure reports and submission of final planning budgets.

## ESTIMATE COMPONENT COSTS

The committee that works on each component should develop estimates for each activity they are designing, and share those with the board and other planning participants as early as possible.

## ESTIMATE COUNCIL ALLOCATIONS AND OTHER COSTS

Some things that contribute to proficiency do not fit under any component easily. Transportation and utilities are good example. You probably could work out a way to list those costs in each component, but doing so would not make your Plan clearer or easier for people to understand. Instead, for some costs, it is simpler and clearer to list them under a heading like “continuing costs.” Some staff positions, including the superintendent, may also fit best on a list like that.

The same is true for your allocations to councils. In important ways, that money is likely to contribute to district goals as well as school goals, and you probably could divide up the allocated amounts and show them as costs of district components. Doing so would



take a lot of work and add a lot of words, but it would make the Plan harder to understand.

Instead, ask your finance staff to develop estimates for these costs and share them with the board and each group working on your Plan.

## **ESTIMATE AVAILABLE RESOURCES**

You will also need to know what resources are likely to be available to cover those costs. Your district finance officer, after consulting with state leaders, is likely to be your best source for estimates on those issues.

Start out by accepting the fact that you will need to work from a series of estimates and revisions each year. Long before you have firm numbers from state or federal sources, you will need to make initial decisions: you can't wait for definite information. Instead, you may want to start with a list of the resources your district has for the current year, followed by any adjustments for next year that seem likely based estimates from the Kentucky Department of Education. Then those numbers may be revised repeatedly, and you will have to make appropriate adjustments as you go.

## **MATCH COSTS, FUNDING, AND SOURCES**

All that information needs to be combined into a spending plan where the resources cover the expenses. That usually involves some prioritizing work, cutting back a bit on some items to provide adequate funding for things that are more important.

Identify a source for each spending need. For categorical programs, be sure that the coordinators for each program are involved as your first source for understanding what each program allows.

## **DECIDE HOW TO USE NEW FLEXIBILITY IN CATEGORICAL PROGRAMS**

At the state level and the federal level, districts have new options for moving funds from some programs to other programs. Appendix C describes the options and limits for the federal funding changes, and Appendix E does the same for state Flexible Focus Funds. Make these decisions based on your planning process and input from the school planning process. As part of the planning process, your district budget will be posted on your district web page each September in a "By Location" format showing how much state and federal support goes to each school, and how much remains at the district level.

## USE THE DISTRICT CIP WORKBOOK TO STREAMLINE THIS WORK (OPTIONAL TOOL)

The Workbook is an Excel spreadsheet available for download from the KDE planning web page:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

Here's how it works. You enter your estimated funding from each source, and then fill in the amounts you want to spend in each component, broken down by objective. The Workbook automatically adjusts your totals, so that you can always see where funding is still available. In the district version, there is also a sheet for breaking down your General fund between districtwide spending and council allocations, and then showing how that money also flows into district components and school plans. When your budget is completed, you can print a detail page for each component and a summary page for the entire Plan.

If you prefer, you may use another format that provides the same information to create the budget section of your Plan.

## COLLABORATE ACROSS THE DISTRICT

Ways to do this are already built into the instructions above. Your resource estimates should reflect what you learn from district and school leaders about likely developments. Your categorical program entries should be shared as you discuss Plan drafts, and those entries will be discussed more formally as the district makes final decisions about what categorical funds will be available to each school. Section 7 requests by their nature reflect council proposals and board responses. In all these steps, good communication is essential. It is best practice to go beyond written correspondence and have plenty of dialogue throughout your planning process.

## COMPLETE THE FORMS

### New Components

Enter dollar amounts needed for an activity in the resources column beside each activity. Enter the funding sources you want to use for that activity in the source column of the component form.

### Budget

Use the District CIP Workbook or another format to show how money will be used. If you develop another format, be sure it is clear about money from each program and from the General Fund that goes to each district component and each school.

### Revised Components

Enter any needed revisions and additions in the appropriate spaces

### Process Summary

List the dates the Planning Committee reviewed drafts of the financial parts of the components, and dates when that information was shared with the board.

Identify other stakeholders who participated in the financial parts of planning and their roles. Include information on who represented parents, certified staff, classified staff, and the ethnic diversity of your community.

### Minutes

In the board minutes, report each time the board reviewed drafts of the financial parts of the components and each time the board discussed Section 7 requests, and note any formal motions and actions taken on those issues.

In the minutes for any committee that participated in this work, include each decision made about recommendations to the board.

### Funding Flexibility Decisions

See the Appendix section on Flexible Focus Funds to see how districts report their decisions with the new funding flexibility.

# PULLING THE PLAN TOGETHER

## BEGIN WITH A COVER PAGE AND MISSION STATEMENT

At the front, put a Cover Page that identifies the Plan, gives the date of the current edition, and has spaces for the signatures of the superintendent and school board chair and the date each person signed. On the copy you keep within the district for your records, be sure the signatures and dates are complete. (It is the district's responsibility to keep a copy of the district plan on file for each fiscal year.)

Next, share your district's Mission Statement. (You may also want to include your Vision and Belief statements.)

## START YOUR EXECUTIVE SUMMARY WITH A PLAN SUMMARY

Your Plan Summary lists the main things the district will be working on under this Plan. It will be the first item in the Executive Summary part of your Plan. For readability, try to make this summary no longer than half a page.

## CONTINUE YOUR EXECUTIVE SUMMARY WITH A PROCESS SUMMARY

The legal requirements for Planning involve how you developed the Plan as well as what you put in the Components, and this Process section shows that you are in compliance on those issues. In the Process Summary, answer the following questions:

1. When did the board adopt its policy and procedures on the planning process?
2. When and how did your district develop its mission and/or vision statement? When and how did your community last review it?
3. If your district has a Strategic Plan, how does that plan compliment the Comprehensive District Improvement Plan process?
4. When and how do you conduct a district wide review and/or evaluation of the school and district plans?
5. Did the district use a Needs Assessment process aligned with Kentucky's Standards and Indicators for School/District Improvement? If not, identify and describe any other process that was used.
6. When did the district complete each step of its Needs Assessment Work? If some parts were completed in past years and not repeated in the current school year, identify those parts and when they were most recently completed.

7. When did the planning committee(s) decide on Priority Needs, Causes, Goals, and Objectives? When were those decisions shared with the board of education?
8. When did the planning committee(s) review drafts of the components? When were those drafts shared with the board?
9. When did the planning committee(s) review estimates for costs? When were those estimates shared with the board?
10. When was the public meeting held to present the Plan to the community, and who attended?
11. When did the board of education officially adopt your revised Plan?
12. When did the board of education vote on Section 7 allocations?
13. When did the board of education adopt Gap Targets that had been agreed to by school councils and the superintendent?
14. When did the board of education hold its most recent public meeting to review the part of each school's Plan that deals meeting the Gap Targets? (These meetings are required in odd numbered years. In an even-numbered year, it is appropriate to list the meeting held the previous year.)
15. For each step list above, what other stakeholders were involved and how? Include names and identify those who represent parents, teachers, other staff, other stakeholders, primary parents, migrant parents, and your community's ethnic diversity.

In the early drafts of your Process Summary, the answers to questions 7-10 may still be in the future. Feel free to just say something like "This step is still in the future. As of today, March 7, the plan is to finish this step at the March 28 board meeting." You'll have actual dates by the time you make the plan available to the public.

## **CHECK AGAINST NCLB REQUIREMENTS**

The federal No Child Left Behind legislation specifies some specific contents that must be in each Plan. This Framework has been designed to make it easy to meet all of the requirements. If you have followed it closely, you will be in good shape. At most, you will need to clarify a few issues.

A tool is included on the KDE web page that contains a checklist of NCLB content questions that your planning process and assurances statements must address. The use of this tool is optional, but will help you to be sure your Plan fits the law. To use the tool effectively:

- Ask each program coordinator in the district to read through the questions.

- If your existing Plan already includes an answer, note where that answer is. KDE suggests that you keep a copy of the notes as a resource in case you are asked to show your federal compliance.

## REVIEW THE ASSURANCES

A final part of your Plan will be a set of assurances, guaranteeing that your planning process and final plan document meet applicable legal requirements. Your superintendent and board chairperson will sign this list and a copy with the official signatures should be kept on file in the district office. The superintendent will submit an email message to the Department of Education (via **KDE Assurances** from the Global address list) stating that that your plans and planning process are in full compliance with all state and federal statutes and regulations, along with a link to the web page where your school and district plans are posted.

### COMPREHENSIVE DISTRICT IMPROVEMENT PLAN: SUBMISSION/POSTING OF ELECTRONIC PLANS AND ASSURANCES

#### By July 1:

A separate address has been set up in the **KDE Global Address List** to enable district personnel to email Assurances to KDE. Please choose “**KDE Assurances**” from the Global Address List for the “To:” box when submitting email to guarantee the Assurances for your plan. In the Subject Line, enter: Assurances for \_\_\_\_\_ District. In the message box, please send a link to your district web page where KDE staff can view the District and School Plans along with a message that says your board has approved the plan and all assurances will be met.

#### On-Going:

The currently approved Comprehensive District Improvement Plan and Comprehensive School Improvement Plans should be kept current on local district web pages at all times. (Please use a format that can be printed.)

#### By September 30:

The final MUNIS budget will be posted on the district web page by Grant and by Location (See Funding and Finance web page at) by September 30. (*School districts that need to expend new money before September 30 will need to post a copy of their FEDERAL MUNIS budget By Grant and By Location before September 30 along with their district and school plans.*) More budget information is available from the link below:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

## **ASSEMBLE THE PLAN**

Put the Plan sections together in the following order:

- |                       |                               |
|-----------------------|-------------------------------|
| 1. Cover Page         | 4. Components                 |
| 2. Mission Statement  | 5. Budget                     |
| 3. Executive Summary: | 6. Added Federal Requirements |
| a. Plan Summary       | 7. Assurances                 |
| b. Process Summary    |                               |

## **GATHER INPUT AND BUILD SUPPORT**

Every Plan gets its strength from the people who are committed to it. To make sure your Plan will yield results, engage many parts of your community in understanding the Plan, helping you make it stronger, and ultimately becoming invested in making it work.

- Announces the meeting date and the availability of the plan for review. This announcement should be made in ways that will work for your community, such as school signs, newsletters, announcements in meetings, website notices, and (if possible) media publicity.
- Hold the public meeting to explain the Plan, gather feedback and discuss issues.
- Share the feedback with your board of education and committees working on the Plan.

## **HEARING ON SCHOOL ACHIEVEMENT GAP PLANS**

In odd-numbered years, the local board of education must review the portion of each school's Plan that sets out the activities and time schedule for reducing achievement gaps. If the district has more than twenty schools, the board may review a comprehensive report instead. The review must be conducted in a public meeting.

KDE suggests holding this meeting in April. That allows any thoughts from the board to be shared with the councils in May. If some councils wish to revise their Plans, that in turn lets those changes be combined with any other adjustments based on district feedback in June.

## **ADOPT THE UPDATED PLAN**

The board approves an official copy of the Plan if board members are confident that:

- The Plan explains clearly what will happen and how that will accomplish your Goals and Objectives.
- Your district community understands the Plan, supports it and is ready to make it succeed.
- The Plan complies with the district Assurances.

If the Board sees serious problems, the Plan needs further work before it is officially adopted.

Once the Plan is officially approved:

- The board chairperson and the superintendent sign the cover page and the assurances.
- The original is kept at the central office as an official board record.

## **DECIDE ON SECTION 7 ALLOCATIONS**

Section 7 allocations are a flexible part of the process of allocating money to school councils. Section 7 of the school council allocation formula governs the distribution of money left in the General Fund after March 1 allocations and district wide expenses.

### *How much money is allocated under Section 7?*

The answer depends on five other financial figures:

- Your Tentative Budget total for your General fund, the one that needs board approval by the end of May.
- Your district wide expenses. The MUNIS categories are defined in Section 3 of the school council allocation formula, but your planning process should have a major influence on the dollar figures budgeted in each category.
- The certified staff allocations given to all schools on March 1, following the rules in Section 4 of the allocation formula.
- The classified staff allocations given March 1 following the rules in Section 5.
- The minimum allocations given March 1 following rules in Section 6.

Very simply, you take the General Fund and subtract district wide, certified, classified, and minimum, and the result is the amount that must be allocated under Section 7.

### *How is the Section 7 money distributed?*

The allocation regulation allows three options:



- Your councils can identify needs based on their Comprehensive School Improvement Plans, and your board can designate some or all of those needs for funding.
- Your board can use disaggregated data to identify student needs for special funding. For example, if students in poverty have consistently lower scores, the district might provide extra dollars per student so that schools can give them extra support.
- Money not allocated by either of the other methods is distributed based on prior year average daily attendance.

When is Section 7 money distributed?

By May 30 each year for the coming school year.

## **FOLLOW-UP ON SCHOOL ADJUSTMENTS**

As the district is completing its revised plan, some discussions and decisions are likely to affect the school plans as well. Communicate with the people working on planning at the school as these issues come up. When the board adopts the revised Plan, share copies immediately and work with them as they develop any revisions they need to make in response.

## **WEB POSTING OF THE DISTRICT PLAN**

The Comprehensive Improvement Planning Process fulfills the requirements for a wide range of programs. The relevant statutes and regulations call for plans and applications to be filed with the Kentucky Department of Education. Each school district web page should contain current copies of the district and school plans posted for public review, along with the district planning budget posted by Grant and by Location. Plans and budgets should be available in a printable format, easily accessible from the main district web page.

## **FORMS**

The Completed Plan

Assemble this document as listed above. Keep a copy as a permanent district record.

Process Summary

In the process summary, include the date of the public meeting, the date the board approved the Plan, the date the board made its Section 7 decisions (if any), and the dates of any subsequent revisions.

Minutes

In the board minutes, show the motions and actions that approve the Plan, the Section 7 requests, and any revisions to the Plan. In the minutes for any committee that participated in this work, include each decision made about recommendations to the board.

# IMPLEMENTATION AND IMPACT

## IMPLEMENT SCHOOLWIDE

For the Plan to work, component leaders and each person listed as responsible for activities must understand their roles and follow through, helping other participants complete the work, stay on schedule, and use the funding as planned. In addition, district leaders must take responsibility for keeping the work on track, knowing what is scheduled for each month and asking questions about how it is going and what results are developing.

## CHECK IMPLEMENTATION AND IMPACT

The board and each committee responsible for Plan-related work:

- *Reviews complete, accurate, specific information on implementation, meaning what work is being done.* For example: Are activities starting on time? Are activities completed on schedule? Are planned purchases fitting within the allowed budgets? Are those listed as the persons responsible carrying out their tasks? Or are delays, unexpected costs, or confusion about roles piling up, and putting the overall goals of the plan in danger?
- *Reviews good information on impact on student performance.* This means that the school board can see the evidence that this activity has made the impact that the component managers expected on district practices and student performance. To measure impact effectively, the district needs a systematic approach to assessment, a regular way of collecting data throughout the year and presenting it for discussion. Although some impact can be measured with the release of test scores each Fall, best practice is to measure impact more frequently to ensure full implementation.
- *Digests the implementation data and impact data and listens to recommendations about where Plan adjustments are needed.*
- *Repeats this process frequently enough to allow effective solutions when problems appear.* Complete this process at least as often as required by your district policy and procedures on planning. KDE recommends that schools and districts complete a full Implementation and Impact Check at least three times each year. This is best practice, and will help ensure effective implementation. This also helps the local board and school councils focused on advancing student achievement.

## REVISE COMPONENTS AS NEEDED

To keep the Plan on track, the district must:

- Identify areas that need revision through your implementation and impact check discussions.

- Decide main directions for the revisions.
- Ask district staff, component managers, and/or district committees to write up the revisions for board approval.
- Communicate with all affected stakeholders about what is happening.
- Implement the revised Plan.

## COMPLETE THE FORMS

### IMPLEMENTATION AND IMPACT CHECK FORMS

Use a format that fits with your district's policy and procedures on Planning. That could be:

- The KDE format available for download from:  
<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/KDE+Planning+Tools+for+Schools+and+Districts.htm>
- The KASC method of annotating the original component. That method is explained in KASC's Planning Kit, and also in the 2001 Implementation and Impact Check instructions available for download from  
<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Process+Focused+Planning+Tools+from+KASC.htm> by looking under *Plan Implementation Instructions*.
- Any other method that provides clear records of attention to the status of activities and results for the Plan.

### Component Revisions

Record the changes you decide on in a format that fits with your district's policy and procedures on Planning.

### Minutes

In the board minutes, report on each Implementation and Impact check, including decisions about what needs to be revised, charges to committees to work on those revisions, and formal approval of revised versions of the Plan.

In the minutes for any committee that participated in this work, include each decision made about recommendations to the board.

## ANNUAL PLANNING SCHEDULE

An annual planning schedule that meets all the timelines required for KRS 158.649 (Senate Bill 168) and the federal No Child Left Behind legislation is included on the following pages:



| School  | Schedule   | District   | Schedule   |
|---|--|--|--|
| <b>NEEDS ASSESSMENT</b>   |  |  |  |
| Student Performance<br>School Practice<br>I&I Data<br>Priority Needs<br>Causes<br>Achievement Gaps  | October 15   | Student Performance<br>District Practice<br>I&I Data<br>Priority Needs<br>Causes<br>Achievement Gaps   | November 1   |
| <b>ACTION COMPONENTS</b>  |  |  |  |
| <u>Goals And Objectives</u><br>Organizing<br>Goals And Objectives<br>Gap Targets & Time Schedules.<br>Adequate Goals And Objectives   | November 15  | <u>Goals And Objectives</u><br>Organizing<br>Goals And Objectives<br>Gap Targets And Time Schedules.<br>Adequate Goals And Objectives  | December 1   |
| <u>Strategies</u><br>Component Managers<br>Activities And Impact<br>Start Dates And End Dates<br>Responsible Persons  | Drafts By:<br>December 15<br>January 15<br>February 15                                 | <u>Strategies</u><br>Component Managers<br>Activities And Impact<br>Start Dates And End Dates<br>Responsible Persons   | Drafts By:<br>January 1<br>February 1<br>March 1                                 |
| <b>BUDGET</b>   |  |  |  |
| Component Costs<br>Other School Costs<br>Resources<br>Match Costs And Resources<br>Fund Sources<br>Section 7(A) Requests<br><br>Review Final MUNIS budget posted on district web page "By Location" for school amounts in state and federal | Drafts By:<br>December 15<br>January 15<br>February 15<br><br>Review By:<br>October 15 | Component Costs<br>Other District Wide Costs<br>School Allocations (General Fund)<br>School Support (Categorical)<br>Resources<br>Match Costs And Resources<br>Fund Sources<br>Post final MUNIS budget and Email notification from superintendent to KDE Assurances with web page link | Drafts By:<br>January 1<br>February 1<br>March 1<br><br>Post by:<br>September 30 |

| School  | Schedule   | District   | Schedule   |
|---|--|--|--|
| <b>PUTTING THE PLAN TOGETHER</b>  |  |  |  |
| <u>Complete Draft</u><br>Prepare A Cover Page<br>Write A Plan Summary<br>Complete A Process Summary<br>Review The Assurances<br>Assemble The Plan | March 15   | <u>Complete Draft</u><br>Prepare A Cover Page<br>Write A Plan Summary<br>Complete A Process Summary<br>Address Additional Federal Requirements<br>Review The Assurances<br>Assemble The Plan | April 30   |
| <u>Approval</u><br>Gather Input And Build Support<br>Adopt The Updated Plan   | April 1  | <u>Approval</u><br>Gather Input And Build Support<br>Adopt The Updated Plan<br>Decide On Section 7 Spending  | May 30   |
| <u>Electronic Submission</u><br>Email file containing school plan page to district office for posting on district web page                        | June 1   | <u>Electronic Submission &amp; Assurances</u><br>District plan posted to district web page and email sent from district to KDE<br>Assurances with link to district and school plans          | June 30  |
| <b>IMPLEMENTATION &amp; IMPACT</b>  |  |  |  |
| Implement   | Year Round   | Implement  | Year Round   |
| Implementation And Impact Check   | At Least Annually in June: More Frequently to align with Standards in SISl | Implementation And Impact Check  | At Least Annually in June: More Frequently to Align with Standards in SIDI |
| Revisions Based On Implementation And Impact Check  | Ongoing  | Revisions Based On Implementation And Impact Check   | Ongoing  |

# CATEGORICAL PROGRAMS

Included In The Comprehensive Improvement Planning Process 2003-2004

## FEDERAL GRANT PROGRAMS

**No Child Left Behind (NCLB), Title I: Part A**  
Improving Basic Programs

**NCLB, Title I: Part B\*\***  
Even Start Continuation

**NCLB Title I: Part C**  
Education of Migratory Children

**NCLB, Title I: Part D, Subpart 2 Overview**  
Neglected and Delinquent

**NCLB, Title II: Part A**  
Teacher Quality

**NCLB, Title II: Part D\***  
Education Technology

**NCLB Title III: Part A, Subpart 1**  
Language Instruction for Limited English Proficient and Immigrant Students

**NCLB, Title IV: Part A\***  
Safe and Drug Free Schools and Communities

**NCLB, Title V: Part A\***  
Innovative Programs

**NCLB, Title VI: Part B, Subpart 2**  
Rural and Low Income Schools

**Individuals with Disabilities Education Act (IDEA)**  
Basic

**Individuals with Disabilities Education Act (IDEA)**  
Preschool

**Carl D. Perkins Vocational and Technical Education Act**  
Basic Grant

**Stewart B. McKinney-Vento Homeless Assistance Act of 2001\*\***  
Title X: Part C Continuation

## STATE GRANT PROGRAMS

- Flexible Focus Fund
  - Extended School Services
  - Professional Development
  - State Preschool Program
  - Textbooks
  - Safe Schools\*
- Kentucky Education Technology System
- Gifted and Talented Education
- Community Education (03-04)

## OTHER PROGRAMS

**Universal Service Administrative Company (USAC)**  
Schools and Libraries Division  
E-Rate Program

**\*Center for School Safety (CSS)**  
State Safe Schools is not in plan – approved by Center for School Safety

**Commonwealth School Improvement Funds (CSIF) For**  
Level 1, 2 and 3 schools to be targeted to closing achievement gaps for 2002-2004.

\*Federal Transferability (No Child Left Behind - NCLB)

\*\*Initial Award Made Through Separate Competitive Application

# APPENDIX A

## Submission of Assurances

*A separate address has been set up in the **Global Address List** to enable district personnel to email Assurances to KDE by July 1 of each year. Please choose “**KDE Assurances**” from the Global Address List for the “To:” box when submitting email to guarantee the Assurances for your plan. In the Subject Line, enter: Assurances for \_\_\_\_\_ District. In the message box, please send a link to your district web page where KDE staff can view the District Plan. Districts can also post direct links to school plans from their district plan web page.*

## LOCAL EDUCATION AGENCY: General Assurances

1. A comprehensive needs assessment, consistent with local board policy, supports this plan. If the needs assessment is aligned with Kentucky’s Standards and Indicators for School Improvement, the Department accepts it as comprehensive. Other methods may count as comprehensive but should be discussed with KDE before they are used.
2. A current needs assessment, consistent with local board policy, supports this plan. If all elements of the needs assessment have been analyzed within the last three years, the Department accepts it as current. Other timetables may count as current, but should be discussed with KDE before they are used..
3. The local school district develops its *Comprehensive District Improvement Plan* with the involvement of representative groups, including required members of the needs assessment team.
4. The local school district reviews its *Comprehensive District Improvement Plan* at least annually and revises as needed. Implementation of activities and strategies described in the action plan are evaluated for impact on student performance and classroom practices. The local school district assures that by July 1 of each year, the *Comprehensive Improvement Plan* posted on the World Wide Web is current.
5. The local school district will administer each covered program in accordance with all program plans and applications.
6. Before its *Comprehensive District Improvement Plan* is submitted, the district has afforded a reasonable opportunity for public comment on the plan and has considered such comment.
7. Where appropriate, the local school district will consult with private school officials in a timely and meaningful way to assure equitable participation of children and/or teachers in the private schools.
8. The local school district will coordinate and collaborate with other agencies as required by the No Child Left Behind (NCLB) Title I, Parts A, C, and D; NCLB Title II, Parts A, B and D; NCLB Title IV, Title V, Title VII, Title IX, Part C, the Individuals with Disabilities Education Act (IDEA), and the Carl D. Perkins Vocational and Technical Education Act of 1998
9. The local school district will adopt and use proper methods of administering the covered programs, including: Implementation of obligations, the correction of deficiencies in program operations as identified through technical assistance, program audits, monitoring or evaluation, and the adoption of written procedures for the receipt and resolution of complaints alleging violations of law in the administration of such programs
10. The local school district will cooperate in carrying out any evaluation of each program conducted by or for the Kentucky Department of Education (KDE), or the U. S. Department of Education.



11. The local school district will:
  - a. Provide timely program reports to the Kentucky Department of Education on activities and expenditures, including reports requested by the U. S. Department of Education
  - b. Maintain records, provide information, and afford access to the records as the Kentucky Department of Education or the federal offices may find necessary to carry out their responsibilities
12. The local school district assures that a comprehensive needs assessment, aligned with the *Kentucky Standards and Indicators for School Improvement*, was conducted at each school and at the district level.
13. The local school district will comply with the Civil Rights Act of 1964, Title VI, Title VII, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, American Disabilities Act of 1990, and the Age Discrimination Act prohibiting discrimination on the basis of race, color, national origin, age, religion, marital status, sex or disability.
14. The local school district assures that its *Comprehensive District Improvement Plan* describes steps it will take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with such assistance, by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers to gender, race, color, national origin, disability, and age. [General Education Provisions Act (GEPA) Section 427].
15. The local school district will comply with the Single Audit Act.
16. The local school district has control of programs and holds title to property acquired with the funds. The district will administer the funds and property as required by the authorizing law and for the purpose for which they are granted. The district retains control in the event of contractual arrangements made with other parties.
17. The local school district will use fiscal control and fund accounting procedures (MUNIS) to ensure proper disbursement of and accounting for federal/state funds paid to the district under the covered programs.
18. The local school district will submit an amendment prior to opening an object code series or to purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved.
19. The local school district assures that:
  - a. Federal appropriated funds haven not been paid by or on behalf of the local school district, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the making of any federal grant, for entering any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.
  - b. Any funds other than federal appropriated funds have not been paid to any person for influencing or attempting to influence an officer or employee of any agency in connection with the federal grant, the superintendent shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

20. The superintendent shall require that these assurances and certifications be included in the award documents for all sub-grantees.
21. Federal funds received under covered programs are used only to supplement and in no case supplant funds from non-federal sources.
22. If the project involves construction, the project is consistent with overall state plans for the construction of school facilities; and, in developing plans for construction, due consideration is given to excellence of architecture and design and to compliance with the Americans with Disabilities Act and standards prescribed by the Secretary under Section 504 of the Rehabilitation Act of 1973 in order to ensure that facilities constructed with the use of federal funds are accessible to and usable by individuals with disabilities [GEPA, Sec. 436(b)].
23. Federal funds received will not be used to acquire equipment (including computer software) when such acquisition results in a direct financial benefit to an organization representing the interests of the school district or its employees or any affiliate of such organization [GEPA, Sec. 436(b)].
24. The local school district will maintain procedures to minimize the time elapsing between the transfer of federal grant funds and their disbursement [Education Department General Administrative Regulations (EDGAR) 80.21].
25. Any plan, budget, evaluation, periodic program plan, or report relating to the covered programs is made readily available to parents and other members of the general public for the purpose of public inspection (EDGAR 76.304). The local school district will comply with the Open Records Act.
26. Children served in covered programs will have access to all state and locally funded instructional, social, health, transportation, and nutritional services on the same basis as any other child and have the opportunity to meet the same challenging content and performance standards as any other child.
27. The local school district will comply with the Debarment, Suspension, and other Responsibility matters regulation [34 Code of Federal Regulations (CFR) 85.11].
28. The local school district will comply with assurance of Compliance (Form HEW 441) or any court ordered desegregation plan that applies to this application.
29. The local school district will comply with the Gun-Free Schools Act of 1994.
30. The local school district will comply with the Pro-Children Act of 1994.
31. The local school district will comply with the Family Educational Rights and Privacy Act of 1974 (FERPA).
32. The local school district shall certify that no policy of the district or the school prevents or otherwise denies participation in constitutionally protected prayer in the public schools (K-12) (ESEA PL107-110 Section 9524).
33. The local school district will comply with all provisions of KRS 158.649 relating to the reduction of achievement gaps among student populations.

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART A ASSURANCES: IMPROVING BASIC PROGRAMS**

1. The local school district will use state and local funds to provide services in Title I schools that are comparable to services provided to non-Title I schools. A district-wide comparability policy has been established which provides for:

- a. A salary schedule that applies to all instructional personnel
- b. Equivalence among schoolteachers, administrators, and auxiliary personnel
- c. Equivalence among schools in the provision of curriculum materials and instructional supplies

*Note:* Written procedures and supporting data for this policy are on file in the local school board office. (Moved first sentence from general assurances since it fits here)

2. The local school district will set aside funds to provide services to homeless children who attend non-Title I schools.

3. The local school district will provide technical assistance to and consult with schools as they develop and implement their school wide programs in order to reach the standard of proficiency by 2014 as measured by the Commonwealth Accountability Testing System. The district will inform eligible schools and parents of school wide authority and of the ability to consolidate funds from Federal, State, and Local sources.

4. The local school district will consult with schools as they develop and implement their targeted assistance programs in order to reach the standard of proficiency by 2014 as measured by the Commonwealth Accountability Testing System. This includes ensuring that eligible migrant and formerly migrant children are selected to receive services on the same basis as other children.

5. The local school district will consult with schools as they develop and implement parent involvement activities.

6. The local school district will comply with the requirements regarding the qualifications for teachers and paraprofessionals and professional development. This includes ensuring that unqualified, out-of-field teachers, or inexperienced teachers do not teach low-income and minority students at higher rates than other students.

7. The local school district will assist Title I schools in developing and identifying high-quality, effective curricula.

8. The local school district will take into account model programs and findings of scientifically based research indicating that services may be most effective if focused on the earliest grades.

9. The local school district will comply with Head Start performance standards if funds are used for preschool services (except Even Start programs or programs using the Even Start model).

10. The local school district will not carry over more than 15% of the Title I, Part A allocation as of September 30. This requirement does not apply to districts with an allocation of less than \$50,000.

11. The local school district will use results of assessments to review progress of schools in meeting proficiency by 2014. The district will provide assessment results to parents and teachers as soon as possible in an understandable form and language. The district will fulfill school improvement responsibilities. The district will coordinate and collaborate with the KY Department of Education and other agencies to assist schools identified for improvement.

12. The local school district will participate (if selected) in the National Assessment of Educational Progress at Grades 4 and 8 in reading and math.

13. The local school district will inform eligible schools of the district's authority to obtain waivers under Title IX.

### **NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART B ASSURANCES: EVEN START CONTINUATION**

1. The local school district/agency assures that families most in need will be served by the Even Start program.

2. The local school district/agency assures the Even Start program is of sufficient intensity, scope and quality to give reasonable promise of substantial progress toward meeting the education needs of families to be served.

3. The local school district/agency assures the Even Start program will build on existing community resources of high quality.

4. The local school district/agency assures the Even Start program integrates the following components:

- a. Interactive literacy activities between parents and their children
- b. Training for parents
- c. Parent literacy training that leads to self-sufficiency
- d. Age-appropriate education for the children

5. The local school district/agency assures the Even Start program will use instructional programs for adults and children based on scientifically based reading research.

6. In the case of families participating in Even Start who are also limited English proficient or are disabled, the local school district/agency assures there is maximum coordination between services provided under this chapter and services provided to address participant's disabling conditions or limited English proficiency.

7. The local school district/agency assures eligible participants are a parent or parents who are eligible for participation in an adult basic education program under the Adult Education Act and the child or children (from birth through age 7) of those parents. Additionally, children over age 7 may be allowed to participate in the Even Start program if Title II, Part B funds contribute to cost of the services.

8. The local school district/agency will provide both enrichment and instructional services to participating families during the summer months.

9. Even Start funds shall not be used to provide services that the applicant is specifically required to provide by state law or pursuant to a formal determination under Title VI of the Civil Rights Act, Title IV of the Education Amendments of 1972 or Section 504 of the Rehabilitation Act of 1973, as amended or pursuant to a final order of a court.

10. Qualified personnel are employed to develop, administer and implement the Even Start program. Beginning 2001-02, all new personnel hired must have at a minimum a bachelor's degree in a field related to early childhood education, elementary or secondary education or adult education. For all Even

Start staff providing early childhood instruction (0-5) the Interdisciplinary Early Childhood Education Certificate (IECE) is required.

11. Personnel or programs funded through Even Start will not be included in state funding.
12. Documentation of non-Even Start matching funds is maintained locally.

### **NO CHILD LEFT BEHIND ACT (NCLB) TITLE I ASSURANCES PART C ASSURANCES: EDUCATION OF MIGRATORY CHILDREN**

1. Districts will not discriminate against children who are not legally admitted to the United States by denying them access to educational programs offered to children of U. S. citizens; neither shall the district:

- a. Require students or parents to disclose or document their immigration status
- b. Make inquiries of students or parents which may expose their undocumented status
- c. Require social security numbers of all students, as it may expose the undocumented status of students or parents (Plyler v. Doe, 457 U.S. 202, 1982)

2. Section 1304(b)(3) of the Elementary and Secondary Education Act states that the Kentucky Department of Education must promote interstate and intrastate coordination of migrant education services, including the transfer of pertinent school records, for migratory children. School districts must meet privacy requirements of FERPA as listed in General Assurances No. 27. In carrying out this requirement, the signed Certificate of Eligibility (COE), by the migrant child's parent or legal guardian will serve as a consensual written permission to share personally identifiable information from their migrant record with authorized local and state education officials and to transfer such information to appropriate education officials in other states having migrant programs.

3. Districts or educational cooperatives serving as administrative centers will maintain a written record (Certificate of Eligibility) of the basis on which each child was determined to be eligible.

4. Districts will coordinate the migrant program with schoolwide projects and other programs within the district.

5. Districts/regional project centers will fully participate in a system for the storage of data and the transfer of migrant student records.

### **NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART D SUBPART 2 Overview: NEGLECTED AND DELINQUENT**

**Supports the operation of local educational agency programs that involve collaboration with locally operated correctional facilities to: 1) carry out high quality education programs to prepare children and youth for secondary school completion, training, employment, or further education; 2) provide activities to facilitate the transition of such children and youth from the correctional program to further education or employment; and 3) operate programs in local schools for children and youth returning from correctional facilities, and programs which may serve at-risk children and youth. Subgrants are awarded to local educational agencies with high numbers or percentages of children and youth residing in locally operated correctional facilities.**

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE II PART A ASSURANCES: HIGH QUALITY TEACHERS AND PRINCIPALS**

1. The district has conducted an assessment of local needs for professional development and hiring that involved teachers, including teachers participating the programs under Part A of Title 1. The needs assessment identifies activities needed to give teacher the subject matter knowledge and teaching skills and to give principals the instructional leadership skills to help teachers provide students with the opportunity to meet state and local student academic achievement standards.
2. The district will target funds to schools that have (1) the lowest proportion of highly qualified teachers; (b) the largest average class size; or (c) have been identified for school improvement under Title 1Part A.
3. The district has consulted with appropriate private, nonprofit school personnel and has made arrangements with school officials to assure equitable participation in assessing needs, setting performance indicators, developing professionals and measuring improvement in teaching and learning.
4. Funds from Part D of Title II are integrated with funds form Part K (technology) of Title II.
5. Professional development activities provided through this program are coordinated with professional development activities provided through other federal, state and local programs.

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE II PART D ASSURANCES: EDUCATION TECHNOLOGY**

1. The district must ensure that the use of federal Ed Tech funds will improve the academic achievement, including technology literacy, of all students and to improve the capacity of all teachers to integrate technology effectively into curriculum and instruction.
2. The district has specified goals, aligned with challenging state standards, for using advanced technology to improve student academic achievement.
3. The district has identified how the use of federal Ed Tech funds will help students in high-poverty and high-needs schools, or schools identified for improvement or corrective action under section 116 of Title I, and to help ensure that teachers are prepared to integrate technology effectively into curricula and instruction.
4. The district has identified how it promotes curricula and teaching strategies that integrate technology effectively into curricula and instruction, based on a review of relevant research and leading to improvements in student academic achievement.
5. The district has identified that it will provide ongoing, sustained professional development for teachers, principals, administrators, and school library media personnel to further the effective use of technology in the classroom or library media center. A minimum of 25% of the federal Ed Tech funds have been used to provide professional development.
6. The district has record of the type and costs of technology that is acquired with federal Ed Tech funds, including provisions for interoperability of components.
7. The district has coordinated activities funded through the federal Ed Tech program with technology-related activities supported with funds from other sources.

8. The district has integrated technology (including software and electronically delivered learning materials) into curricula and instruction, and a timeline for this integration.
9. The district has identified how it will encourage the development and use of innovative strategies for the delivery of specialized or rigorous courses and curricula through the use of technology, including distance learning technologies, particularly in areas that would not otherwise have access to such courses or curricula due to geographical distances or insufficient resources.
10. The district has identified how it will use technology effectively to promote parental involvement and increase communication with parents, including a description of how parents will be informed of the technology used.
11. The district has identified the program will be developed, where applicable, in collaboration with adult literacy service providers.
12. The district has in place the process and accountability measures that will be used to evaluate the extent to which activities funded under the program are effective in integrating technology into curricula and instruction, increasing the ability of teachers to teach, and enabling students to reach challenging state academic standards.
13. The district has identified the supporting resources, such as services, software, other electronically delivered learning materials, and print resources, that will be acquired to ensure successful and effective uses of technology.
14. As required by state regulation 701 KAR 5:110, the district will only procure those technologies that meet KETS standards, if a standard for that category has been established, regardless of source of funds as set forth in the *2001-2006 Master Plan for Education Technology*.

### **NO CHILD LEFT BEHIND ACT (NCLB) TITLE III ASSURANCES: LANGUAGE INSTRUCTION FOR LIMITED ENGLISH PROFICIENT AND IMMIGRANT STUDENTS**

1. The LEA/local school district assures that it has developed a district plan for educating all Limited English Proficient (LEP) students within its jurisdiction. It also assures that a copy of the district LEP plan will be provided to all schools receiving Title III funds and that the plan and its contents will be made available to LEP families and the public in compliance with open records laws.
2. The LEA/local school district assures that it will provide equal educational opportunities to all LEP students and uphold such rights regardless of citizenship or nationality status, as provided under Title VI of the Civil Rights Act of 1964, the Equal Educational Opportunity Act of 1974, Sec. 204(f), and as affirmed in the Supreme Court ruling in *Plyer v. Doe*, 1982, and any other civil rights guaranteed by federal law.
3. The LEA/local school district assures that it will expend all Title III funds to improve the education of limited English proficient (LEP) children by assisting the children to speak, read, write and comprehend the English language and to meet challenging state content and performance standards.
4. The LEA/local school district with substantial increases in immigrant students assures that it will use Title III emergency immigrant funds in a manner consistent with activities under Sec. 3115 (e) of Title III.
5. The LEA/local school district assures that its proposed plan is based on approaches and methodologies consistent with scientifically based research on teaching LEP and immigrant students.

6. The LEA/local school district assures that its proposed plan describes how language instruction programs will ensure that LEP students develop English proficiency.
7. The LEA/local school district assures that all teachers in its LEP programs are fluent in English and any other language used for instruction, including written and oral communication skills.
8. The LEA/local school district assures that it will use Title III funds in ways that will build district and school capacity to continue to offer high-quality language instruction educational programs for LEP students.
9. The LEA/local school district assures that its LEP programs, strategies and funding allocations are aligned and integrated with the Comprehensive District Improvement Plan (CDIP) and Comprehensive School Improvement Plans (CSIP).
10. The LEA/local school district assures that it has developed annual specific, measurable achievement objectives for LEP and immigrant students to include, at a minimum,
  - a. Annual increases in the number or percentage of students making progress in learning English (as measured by an approved English language proficiency assessment for Kentucky);
  - b. Annual increases in the number or percentage of students attaining English language proficiency (as measured by an approved English language proficiency assessment for Kentucky);
  - c. Making adequate yearly progress for the district's LEP and immigrant students (as measured by academic assessments included in the Commonwealth Accountability Testing System (CATS) in the areas of mathematics, reading or language arts and science).
11. The LEA/local school district assures that it will hold accountable all elementary, middle and high schools receiving Title III funds in meeting the district's annual measurable achievement objectives (as stated in the previous assurance statement) through a program evaluation submitted to the district at the end of the fiscal year.
12. The LEA/local school district assures that it will annually assess the English language proficiency (in reading, writing, listening, speaking and understanding) of all identified LEP and immigrant students in the district using a test approved by the Kentucky Board of Education. (For 2002-2003, the Language Assessment Scales (LAS) or the IDEA Proficiency Test (IPT) are the two approved tests.)
13. The LEA/local school district assures that it will disaggregate cognitive and non-cognitive student data from all components of CATS and set biennial measurable goals for closing the gap between LEP and non-LEP students as set forth in Kentucky Senate Bill 168.
14. The LEA/local school district assures that a Program Services Plan will be developed for each LEP and immigrant student in the district. The Program Services Plan will, at a minimum, include all essential elements required by Title III of No Child Left Behind (NCLB) and Kentucky's Regulations on Inclusion of Special Populations in State Assessment and Accountability (703 KAR 5:070, revised August 2002).
15. The LEA/local school district assures that all LEP and immigrant students enrolled in the school district on the first day of the CATS testing window, and who have been in the same district/school the previous full academic year, or in any English-speaking school for the previous two full academic years, will participate in all components of the state-required assessment and accountability programs.
16. The LEA/local school district assures that parents/legal guardians of all LEP and immigrant students in the district will be notified within 30 days of their child's identification as LEP, program



instructional services, and parental rights to opt out of services or to seek alternative services as outlined in Sec. 3302 of Title III.

17. The LEA/local school district assures that it will promote parental and community participation in programs for LEP students.

18. The LEA/local school district assures that it will determine primary or home languages spoken by students on an annual basis through such strategies as the student enrollment form, a home language survey or interviews with parents/legal guardians. This information will be used for identification of LEP and immigrant students.

19. The LEA/local school district assures that it will submit to the Kentucky Department of Education all demographic and programmatic information, including the requirements of Sec. 3123 of Title III, pertinent to the implementation of the Title III program and the provision of services to LEP and immigrant students (through the Survey of State's Limited English Proficient Students and Available Educational Programs and Services).

20. The LEA/local school district assures that it developed its proposed plan in consultation with teachers, school administrators, parents, researchers, and if appropriate, with education-related community groups and nonprofit organizations, and institutions of higher education.

21. The LEA/local school district assures that it has consulted with non-public schools within its area of service in the development of the district LEP plan, and that it will administer and provide on an equitable basis educational services to LEP students in non-public schools through a public agency or a contractual entity independent of the non-public schools or religious organizations.

22. The LEA/local school district assures that all Title III funds will supplement, but in no case supplant, federal, state and local public funds for programs for LEP and immigrant students.

23. The LEA/local school district assures that at the end of the fiscal year it will submit to KDE a Title III program evaluation to include a description of programs and activities and of the progress made by LEP students towards attaining English language proficiency and meeting state academic achievement standards as set forth in Sec. 3121 of Title III.

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE IV PART A ASSURANCES: SAFE AND DRUG-FREE SCHOOLS & COMMUNITIES**

1. The local school district assures that the activities or programs to be funded comply with the principles of effectiveness described in section 4115 (a) and foster a safe and drug-free learning environment that supports academic achievement.

2. The local school district assures that drug and violence prevention programs supported under this subpart convey a clear and consistent message that acts of violence and the illegal use of drugs are wrong and harmful.

3. The local school district assures that the applicant has, or the schools to be served have, a plan for keeping schools safe and drug-free that includes:

- a. appropriate and effective school discipline policies that prohibit disorderly conduct, the illegal possession of weapons, and the illegal use, possession, distribution, and sale of tobacco, alcohol, and other drugs by students
- b. security procedures at school and while students are on the way to and from school

- c. prevention activities that are designed to create and maintain safe, disciplined, and drug-free environments
  - d. a crisis management plan for responding to violent or traumatic incidents on school ground sand
  - e. a code of conduct policy for all students that clearly states the responsibilities of students, teachers, and administrators in maintaining a classroom environment that:
    - (i) allows a teacher to communicate effectively with all students in the class
    - (ii) allows all students in the class to learn
    - (iii) has consequences that are fair, and developmentally appropriate
    - (iv) considers the student and the circumstances of the situation, and
    - (v) is enforced accordingly
4. The local school district assures that the application and any waiver request under section 4115(a)(3) will be available for public review after submission of the application.
5. The district has on file a description of the methods used for documenting and measuring progress toward achieving its drug/alcohol and safety related goals.
6. The local school district assures that the current job description and the activities of personnel funded in whole or in part under this program are directly related to measurable prevention goals and objectives on file in the local school.

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE V PART A ASSURANCES: INNOVATIVE PROGRAMS**

1. An assurance that the local educational agency will comply with this part (Sec. 5133 Local Application), including the provisions of section 5142 concerning the participation of children enrolled in private non-profit schools.
2. An assurance that the local educational agency will keep such records, and provide such information to the State education agency, as may be reasonably required for fiscal audit and program evaluation (consistent with the responsibility of the State educational agency under this part).
3. As assurance that (a) programs carried out under this part will be evaluated annually; (b) the evaluation will be used to make decisions about appropriate changes in programs for the subsequent year; (c) the evaluation will describe how assistance under this part affected student academic achievement and will include, at a minimum, information and data on the use of funds, the type of services furnished, and the students served under this part; and
4. The evaluation will be submitted to the State educational agency at the time and in the manner requested by the State educational agency.

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE VI PART B, SUBPART 2 ASSURANCES: RURAL AND LOW-INCOME SCHOOLS PROGRAM**

PROGRAM REQUIREMENTS TBA

## **NO CHILD LEFT BEHIND ACT (NCLB) TITLE X PART 3 ASSURANCES: STEWART B. MCKINNEY-VENTO HOMELESS ASSISTANCE ACT**

1. The local school district will adopt policies and practices to ensure that homeless children and youths are not stigmatized or segregated on the basis of their status as homeless.
2. The local school district will designate an appropriate staff person, who may also be a coordinator for other Federal programs, as a local educational agency liaison for homeless children and youths.
3. The school district will adopt policies and practices to ensure that transportation is provided at the request of the parent or guardian (or in the case of an unaccompanied youth, the liaison), to and from the school of origin, in accordance with the following as applicable:
  - a. If the homeless child or youth continues to live in the area served by the local educational agency in which the school of origin is located, the child's or youth's transportation to and from the school of origin shall be provided or arranged by the local educational agency in which the school of origin is located.

## **CARL D. PERKINS VOCATIONAL AND TECHNICAL EDUCATION**

1. Federal funds received under Title I, Part C of Public Law 105-332 are used to improve Career and Technical Education programs.
2. Funds are used according to the requirements identified in Title I, Part C [Section 135].
3. None of the funds made available under this Act may be used to provide funding under the School-to-Work Opportunities Act of 1994 or to carry out, through programs funded under this Act, activities that

were funded under the School-to-Work Opportunities Act of 1994 unless the programs funded under this Act serve only those participants eligible to participate under this Act. [Section 6]

4. Eligible recipients shall not receive an allocation under Section 131(a) unless the amount allocated is greater than \$15,000. Those whose allocation is not greater than \$15,000 may apply for a waiver or form a consortium. [Section 131]

5. The eligible recipient ensures that students who participate in Career and Technical Education programs are taught to the same challenging academic proficiencies as are taught for all other students. [Section 134(b)(3)(c)]

6. Eligible recipients shall involve parents, students, teachers, representatives of business and industry, labor organizations, representatives of special population, and other interested individuals in the development, implementation, and evaluation of Career and Technical Education programs assisted under Title I. Eligible recipients shall maintain documentation on how such individuals and entities are effectively informed about, and assisted in understanding the requirements of Title I. [Section 134(b)(4)]

7. Eligible recipients will provide a Career and Technical Education program that is of such size, scope, and quality to bring about improvement in the quality of vocational and technical education programs. [Section 134(b)(5)]

8. The local school district will implement a process to independently evaluate and continuously improve its performance. [Section 134(b)(6)]

9. Eligible recipient (A) will review Career and Technical Education programs, and identify and adopt strategies to overcome barriers that result in lowering rates of access to or lowering success in programs, for special populations, and (B) will provide programs that are designed to enable the special populations to meet the State adjusted levels of performance. [Section 134(b)(7)]

10. Individuals who are members of the special populations will not be discriminated against on the basis of their status as members of the special populations. [Section 134(b)(8)]

11. Funds will be used to promote preparation for nontraditional training and employment. [Section 134(b)(9)]

12. Comprehensive professional development (including initial teacher preparation) for Career and Technical, academic, guidance, and administrative personnel will be provided. [Section 134(b)(10)]

13. The local school district shall not bar students attending private, religious, or home schools from participation in programs or services under this Act. [Section 313]

14. No funds made available under the Carl D. Perkins Vocational and Technical Education Act of 1998 shall be used:

a. To require any secondary school student to choose or pursue a specific career path or major

b. To mandate that any individual participate in a Career and Technical Education program, including a Career and Technical Education program that requires the attainment of a federally funded skill level, standard, or certificate of mastery. [Section 314]

15. No funds received under Carl D. Perkins Vocational and Technical Education Act of 1998 may be used to provide Career and Technical Education programs to students prior to the seventh grade, except that such students may use equipment and facilities purchased. [Section 315]

## **INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA) PART B ASSURANCES: BASIC AND PRESCHOOL**

1. The expenditures of IDEA-B funds for services and goods are made exclusively for the benefit of children who meet the definitions and eligibility criteria for programs for exceptional children as found in 707 KAR Chapter 1.
2. Special education and related services are provided in a manner consistent with policies and procedures required by the Individuals with Disabilities Education Act (IDEA) Part B. These policies and procedures address: free appropriate public education, child identification, due process, evaluation, eligibility, individual education programs, placement in least restrictive environment, delivery of services, confidentiality, non-public school, comprehensive system of personnel development, and IDEA-B funds.
3. A goal of full educational opportunity has been established for all children with disabilities, aged birth through 21.

## **STATE PRESCHOOL PROGRAM ASSURANCES (FLEXIBLE FOCUS FUND)**

1. The district has a current, signed agreement with the local Head Start program to maximize Head Start funds to serve as many eligible four-year-old children as possible, with certification from the Head Start director that the Head Start program is fully utilized.
2. When the district contracts with an outside agency for preschool placements (tuition), the contractor has been approved by the Kentucky Department of Education for these purposes and the contracted services meet all state and federal education requirements.
3. All preschool education programs operated by or located on school grounds meet state education facility requirements for preschool programs. All materials and equipment used by these programs are appropriate for young children.
4. All children enrolled in preschool education programs which operate at least half-day are offered a meal while in the program (breakfast and/or lunch).
5. All instructional staff for preschool education programs meet qualification standards and professional development requirements for preschool, as specified by regulation.
6. The district has a written plan (policies and procedures) for the operation of the preschool, including at least: recruitment of children; educational programming and related services; parent outreach; coordination of health and social services; and coordination with the primary program.

## **PROFESSIONAL DEVELOPMENT ASSURANCES (FLEXIBLE FOCUS FUND)**

1. The district certifies that each teacher participates in high quality professional development and that instructional improvement and training needs of staff are addressed in accordance with the goals in KRS 158.6451.
2. School and districts will adhere to professional development options embedded in their school or district improvement plans as professional development programs are implemented under KRS 158.070.
3. The district certifies that all persons affected by the professional development program are represented or included on the school and district planning teams.

4. The district certifies that the local professional development coordinator is qualified for that position and provides technical assistance to school councils, staff members and professional development committees as described in Section 5 of 704 KAR 3:035.
5. Professional development funds are expended and accounted for as required in 704 KAR 3:035 and funds are used for needs identified in the school and district planning process.

### **TEXTBOOKS AND INSTRUCTIONAL MATERIALS ASSURANCES (FLEXIBLE FOCUS FUND)**

1. The district certifies that the textbook/instructional materials purchasing plans for all schools serving grades P-8 have been approved by the appropriate school councils and the local board of education and are on file in the district office. The plans address the requirements as stated in KRS 156.439 and 704 KAR 3:455.
2. The district certifies that an annual report and summary of expenditures for textbooks and instructional materials is available on the district's MUNIS report. The annual report addresses the requirements as stated in KRS 156.439 and 704 KAR 3:455.

### **GIFTED AND TALENTED ASSURANCES**

1. The local school district has in operation and available for public inspection local board approved policies and procedures which address each requirement in 704 KAR 3:285 (Sections 1-10), the administrative regulation for programs for the gifted and talented, and are consistent with KRS 157.200, 157.224, 157.230 and 703 KAR 4:040.
2. The local school district adheres to the definitions in Section 1 of 704 KAR 3:285 for primary through grade twelve (12).
3. The local school district has adopted policies and procedures for the identification and diagnosis of gifted characteristics, behaviors, and talent and determination of eligibility for services, primary through grade twelve (12) consistent with 704 KAR 3:285. (Section 3)
4. The local school district has implemented a procedure to obtain information related to the interests, needs, and abilities of an identified student from her/his parent or guardian for use in determining appropriate services and notifies a parent or guardian annually of services included in her/his child's gifted and talented student services plan and specific procedures to follow in requesting a change in services. (Section 3)
5. The local school district has adopted a procedure for determining eligibility for services primary through grade twelve (12). (Section 4)
6. The local school district conducts an annual program evaluation process. The local school district has ensured that school personnel report to a parent or guardian the progress of her/his child related to the gifted and talented student services plan at least once each semester. (Section 5)
7. The local school district provides articulated primary through grade twelve (12) multiple service delivery options. No single service option exists alone, districtwide, at a grade level. (Section 6)
8. A comprehensive framework or course of study for children and youth, primary through grade twelve (12), who are diagnosed as possessing gifted characteristics, behaviors and talent is based on a district or school's curricula required to meet the goals established in KRS 158.6451. (Section 7)

9. Each school has differentiated, replaced, supplemented, or modified curricula to facilitate high level attainment of the learning goals established in KRS 158.6451 and assists students identified as gifted and talented to further develop their individual interests, needs, and abilities. (Section 7)

10. The local school district has ensured that direct services to students identified as demonstrating gifted and talented behaviors and characteristics are provided by professionally qualified and certified personnel as required by the Education Professional Standards Board. (Section 8)

11. State funds for gifted education are used specifically for direct services to students who are gifted and talented. Direct services to students identified as demonstrating gifted and talented behaviors and characteristics are provided by professionally qualified and certified personnel as required by the Education Professional Standards Board. Seventy-five (75) percent of the district's gifted education allocation is used to employ properly certified personnel to provide direct instructional services. (Sec. 9)

12. The district has designated a gifted education coordinator to oversee the district gifted education operation, serve as liaison between the district and the state, ensure internal compliance with state statutes and administrative regulations, administer and revise the gifted education program budget, and submit to the Kentucky Department of Education for approval as an amendment any local district budget decision change causing a major or significant adjustment, thereby, impacting state funds for gifted education after the annual submission of the local district education plan. (Sec. 9)

13. State funding is contingent upon employing properly certified personnel to administer and teach in the program, annual submission of the local district gifted education year-end report, summative evaluation of the program and student progress, and complying with this regulation. (Sec. 9)

14. The local school district has established a district wide grievance procedure through which a parent, guardian or student may resolve a concern regarding the appropriate and adequate provision of talent pool services or services addressed in a formally identified student's gifted and talented student services plan. (Section 10)

## **EXTENDED SCHOOL SERVICES (ESS) ASSURANCES (FLEXIBLE FOCUS FUND)**

1. New legislation introduced in House Bill 626 during the Spring 2002 General Assembly was approved to amend KRS 158.070 (8) to add new flexibility for ESS programs in schools and districts as follows:

"The Kentucky Board of Education shall promulgate administrative regulations establishing criteria for the allotment of grants to local school districts and shall include criteria by which the commissioner of education may approve a district's request for a waiver to use an alternative service delivery option, including providing services during the school day on a limited basis. These grants shall be allotted to school districts to provide instructional programs for pupils who are identified as needing additional time to achieve the outcomes defined in KRS 158.6451. A school district that has a school operating a model early reading program under KRS 158.792 may use a portion of its grant money as part of the matching funds to provide individualized or small group reading instruction to qualified students outside of the regular classroom during the school day."

2. The local school board and the district have approved and disseminated procedures whereby pupils who have a greater need as determined by the eligibility criteria as stated in KRS 158.070 and 704 KAR 3:390 shall be referred and selected first to receive extended school services. The district further ensures that students who have greater academic need as stated in KRS 158.070 and 704 KAR 3:390 are not excluded from referral or selection for extended school services due to the inability of the parent or student to provide transportation to or from the school or site of extended school services programs.

3. The school informs parents or guardians of extended school services as follows:

- a. A general notification which describes the nature of the services to be offered including the opportunities for maintenance of performance, prevention of failure and reduction of academic deficiencies
  - b. A specific notification of their child's eligibility to receive extended school services
  - c. Written procedures for parents or guardians to request reconsideration of their children's identification or lack of identification of eligibility for extended school services
4. (If applicable) The most current policy developed by the local school board that mandates attendance for any student(s) to Extended School Services is on file at the offices of Extended School Services, Kentucky Department of Education.
5. Accurate time logs are maintained for personnel receiving salary from Extended School Services. Such salary is for direct services to the Extended School Services program. No ESS staff member is paid more than his/her actual hourly rate for a comparable position in the regular program.
6. The district has written criteria for the selection of ESS staff (certified and classified). ESS teachers and other ESS staff are first employed based on having the specific expertise to meet the needs of the students being served. All other criteria for employment is both fair and equitable to applicants.
7. Accurate records are maintained for student attendance to Extended School Services and of student progress toward individual goals.
8. Students not enrolled in ESS are allowed to ride the buses provided through ESS funds only to the extent that it does not increase the cost of such transportation to ESS.

## **KENTUCKY EDUCATION TECHNOLOGY SYSTEM (KETS) ASSURANCES AND UNIVERSAL SERVICE ADMINISTRATIVE COMPANY (USAC) E-RATE ASSURANCES**

While it is critical that technology planning not be viewed or treated as a separate exercise dealing with hardware and telecommunications infrastructure, it is imperative that district leadership participates in both long and short-term technology planning. Technology goals must have strong connections between the infrastructure of the information technology systems, professional development programs, curriculum resources, and effective uses by teachers, students and school leaders. The result of technology planning is a strategic action plan that addresses the current and future implementation of district-wide services, school-level resources and outlines the use of technology and funding sources, i.e. E-Rate Program; NCLB, Title II, Part D formula and competitive grants, KETS; and other funding sources, in support of teaching and learning in a school. (NCLB assurances, page 38)

To meet the required criteria of E-Rate and KETS, technology leaders must align its technology goals to the overall district's education improvement objectives to meet the following eight assurances:

1. The local school district establishes clear goals and a realistic strategy for using telecommunications and information technology to improve education. [Section 254 (h)(1)(B), of the Telecommunications Act of 1996, & FCC order 97-157, Paragraph 573] (Web site: <http://www.sl.universalservice.org/apply/>)
2. The local board of education agrees to conform to the guidelines for filtering technologies regarding student and staff Internet access as provided in the Master Plan for Education Technology, including the implementation and maintenance of approved filtering technology in the district and in every school. The local school district agrees to adopt an acceptable use policy in accordance with the guidelines for acceptable use policies as provided in the *Master Plan for Education Technology*. The acceptable use policy contains procedures which will prevent access to objectionable materials, including sexually



explicit materials, and shall include, but not be limited to, parental consent for student Internet use, teacher supervision of student computer use, and auditing procedures to determine whether education technology is being used for the purpose of accessing sexually explicit or other objectionable material. The acceptable use policy also contains provisions that prohibit students, faculty, staff and others with network access from using district resources to establish Internet email accounts through third party providers or any other non-standard electronic mail. [KRS 156.160, 98 RS BR 1621 (SB 230), 701 KAR 5:120)

3. Districts are required by state regulation 701 KAR 5:110 to procure only those technologies that meet KETS standards, if a standard for that category has been established, regardless of source of funds as set forth in the *2001-2006 Master Plan for Education Technology*.

4. The local school district has a professional development strategy to ensure that all students, teachers, and administrators meet state technology standards in their use of current and new technologies to support educational goals.

5. The local school district assesses the telecommunication services, hardware, software, and other services that will be needed to support education.

6. The local board provides for sufficient funds to acquire and support the elements of technology: hardware, software, professional development, and other services that will be needed for students to achieve performance levels as defined by federal and state regulations. District leadership approves the KETS Technology Activity Report. Any subsequent offer of assistance from the state's matching education technology funds is made provided the district continues to have an unmet need as stated in the *Master Plan for Education Technology*. (KRS 157.655)

7. The local district agrees to conform to the KETS Electronic Mail Standards and Best Practices Guidelines. These guidelines communicate the basic standards for statewide electronic mail including State Level Shared Distribution Lists as incorporated by reference into the *Master Plan for Education Technology*.

(<http://www.kentuckyschools.net/KDE/Administrative+Resources/Technology/Master+Plan/default.htm>)

8. The local school district includes an evaluation process that enables the school to monitor progress toward the specified goals and make mid-course corrections in response to new developments and opportunities as they arise.

### **Technology Status Report (formerly KETS Progress Data) – Due January 15 & July 1**

All districts will complete the Technology Status Report (formerly KETS Progress Data report). The District Technology Coordinator should work with the KETS Engineer to complete this form. Upon completion, the final report must be submitted to the KETS Engineer. DTC should make a copy of the Technology Status Report to place in the Comprehensive improvement Plan for the district. The report due January 15 will reflect data from July 1 – December 31, and the report due July 1 will reflect data from January 1 – June 30.

### **Unmet Need – Due June 30**

KDE will establish the district's unmet need utilizing the state standard financial system (MUNIS) and the required Technology Status Report (formerly KETS Progress Data).

# APPENDIX B

## Program Reports and Due Dates

### FEDERAL GRANT PROGRAM REPORTS & DUE DATES

#### NO CHILD LEFT BEHIND (NCLB)

#### Due Dates

*Division of Federal Program Resources*

(<http://www.kde.state.ky.us/KDE/Administrative+Resources/Finance+and+Funding/Federal+Program+Funding/Title+Programs/default.htm>)

|  |              |
|--|--------------|
| Title I Data Reporting Form                                    | September 30 |
| Title I Ranking Report   | July 15      |
| Title I Evaluation for Private School Students                 |              |
| MUNIS Program Budget Report (310X)                             | Quarterly    |
| <br>Title II Teacher Quality Data Reporting Form               | September 30 |
| MUNIS Program Budget Report (401X)                             | Quarterly    |
| <br>Title II Education Technology                              | September 30 |
| MUNIS Program Budget Report (425X) Basic                       | Quarterly    |
| MUNIS Program Budget Report (425XC) Competitive                | Quarterly    |
| <br>Education of Migratory Children Program Performance Report | October 1    |
| MUNIS Program Budget Report (311X)                             | Quarterly    |
| <br>Neglected and Delinquent Program Performance Report        | September 30 |
| MUNIS Program Budget Report (314X)                             | Quarterly    |
| <br>Declaration of Participation (Title V)                     | March 31     |
| Title V Program Innovative Programs Evaluation Report          | September 30 |
| MUNIS Program Budget Reports (334X)                            | Quarterly    |

*Division of Curriculum Development* ([http://www.kde.state.ky.us/cgi-bin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMAGE%3DSearch&host\\_id=1&page\\_id=463&query=LEP&hiword=LEP+](http://www.kde.state.ky.us/cgi-bin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMAGE%3DSearch&host_id=1&page_id=463&query=LEP&hiword=LEP+))

|  |           |
|--|-----------|
| Title III Part A: Language Acquisition for LEP/ Immigrant Students |           |
| Title III Program Evaluation Report                                | June 30   |
| MUNIS Program Budget Report (345X)                                 | Quarterly |

*Division of Extended Learning* ([http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMAGE%3DSearch&host\\_id=1&page\\_id=258&query=Even+Start&hiword=EVEN+START+](http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMAGE%3DSearch&host_id=1&page_id=258&query=Even+Start&hiword=EVEN+START+))

|                                    |           |
|------------------------------------|-----------|
| Even Start Annual Progress Report  | June 30   |
| Even Start Information System      | August 15 |
| MUNIS Program Budget Report (323X) | Quarterly |

*Division of Student/Family/Community Support Services*

*(<http://www.kentuckyschools.net/KDE/Instructional+Resources/Student+and+Family+Support/Safe+and+Drug+Free+Schools/default.htm>)*

|  |           |
|--|-----------|
| Safe & Drug Free Title IV Declaration of Participation | March 7   |
| Title IV Request to Carryover More Than 25%            | June 30   |
| MUNIS Program Budget Report (406X)                     | Quarterly |

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**Individuals with Disabilities Education Act, Part B**

**Due Dates**

*(IDEA-B Basic/Preschool) Division of Exceptional Children Services*

*(<http://www.kentuckyschools.net/KDE/Instructional+Resources/Student+and+Family+Support/Exceptional+Children/default.htm>)*

|  |             |
|--|-------------|
| IDEA-B Child Count (as of December 1)  | December 15 |
| Personnel Employed and Needed for Special Education                                    | December 15 |
| Implementation of FAPE (Educational Placements)  | December 15 |
| Survey of Students Who Have a Visual Impairment as a Secondary Disability              | December 15 |
| Report of Children with Disabilities Subject to Disciplinary Suspensions or Expulsions | July 30     |
| Report of Children and Youth with Disabilities Exiting Special Education               | July 30     |
| Excess Costs and Maintenance of Fiscal Effort Report                                   | October 31  |
| MUNIS Program Budget Report (Basic 337X, Preschool 343X)                               | Quarterly   |

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**McKinney-Vento Homeless Education Act of 2001  
(Continuation)**

**Due Dates**

*Division of Federal Program Resources*

*([http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMAGE%3DSearch&host\\_id=1&page\\_id=164&query=Homeless&hiword=HOMELESS+](http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMAGE%3DSearch&host_id=1&page_id=164&query=Homeless&hiword=HOMELESS+))*

|   |             |
|---|-------------|
| Annual Homeless Children/Youth Count Survey | February 14 |
| MUNIS Program Budget Report (316X)          | Quarterly   |

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**Carl D. Perkins Vocational and Technical Education Act**

**Due Dates**

*Division of Career and Technical Education ([http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMAGE%3DSearch&host\\_id=1&page\\_id=525&query=Carl+Perkins&hiword=CARL+PERKINS+](http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMAGE%3DSearch&host_id=1&page_id=525&query=Carl+Perkins&hiword=CARL+PERKINS+))*

|  |                    |
|--|--------------------|
| Career and Technical Education Report Agriculture    | July 15            |
| Extended Employment Plan and Report                  | January & March 31 |
| Student Enrollment (via electronic data system)      | February 29        |
| Follow-up/Transition                                 | December 19        |
| Skill Standards Assessment Registration              | May 30             |
| Career and Technical Education Course Offerings Form | May 30             |
| Consortium Agreement (if applicable)                 | Quarterly          |
| MUNIS Program Budget Report (Perkins 348X)           |                    |

## STATE GRANT PROGRAM REPORTS & DUE DATES

### Extended School Services

### Due Dates

*Division of Curriculum*

[http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMA GE%3DSearch&host\\_id=1&page\\_id=557&query=ESS&hiword=ESS+](http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMA GE%3DSearch&host_id=1&page_id=557&query=ESS&hiword=ESS+)

|                               |                |           |
|-------------------------------|----------------|-----------|
| ESS Student Data Through STI: | Regular Term   | June 30   |
|                               | Summer Term    | August 31 |
| ESS Daytime Waiver Evaluation |                |           |
| ESS Program Report            | (for new year) | June 30   |
| MUNIS Program Budget Report   | (120X)         | Quarterly |

### Gifted and Talented

### Due Dates

*Division of Curriculum Development*

<http://www.kentuckyschools.net/KDE/Instructional+Resources/Student+and+Family+Support/Gifted+and+Talented/default.htm>

|                                |                      |         |
|--------------------------------|----------------------|---------|
| Gifted and Talented Evaluation | End of Year Report   | June 30 |
| Final MUNIS Program            | Budget Report (130X) | July 31 |

### Preschool

### Due Dates

*Division of Extended Learning*

<http://www.kentuckyschools.net/KDE/Instructional+Resources/Preschool/default.htm>

|  |             |
|--|-------------|
| State Preschool Enrollment Count as of December 1            | December 15 |
| End-of-Year Supplemental Count (3 Yr-Olds with Disabilities) | May 15      |
| State Preschool Annual Performance Report                    | June 30     |
| Preschool Educational Program Summary (for new year)         | June 30     |
| MUNIS Program Budget Report (135X)                           | Quarterly   |

### Education Technology

*Office of Education Technology*

<http://www.kentuckyschools.net/KDE/Administrative+Resources/Technology/Master+Plan/default.htm>

|                                 |              |
|---------------------------------|--------------|
| FYXX Technology Activity Report | September 30 |
|---------------------------------|--------------|

### Professional Development

### Due Dates

*Division of Leadership, Learning and Professional Development (Leadership Development)*

<http://www.kentuckyschools.net/KDE/Administrative+Resources/School+Improvement/Leadership+and+Evaluation/default.htm>

|  |                  |
|--|------------------|
| End of Cycle Leadership Activity Report (EILA) | August 15 (YR 2) |
| MUNIS Final Program Report (140X)              | July 25          |

## OTHER PROGRAM REPORTS AND DUE DATES

|   |  |                  |
|---|--|------------------|
| <b>Division of Extended Learning</b>  |  | <b>Due Dates</b> |
| <i>Early Childhood Branch</i>   |  |                  |
| ( <a href="http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=719&amp;query=Primary&amp;hiword=PRIMARY+">http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=719&amp;query=Primary&amp;hiword=PRIMARY+</a> )           |  |                  |
| Demographic Survey of Primary Programs  |  | May 30           |
| Early Reading Incentive Grant Budget Report MUNIS (182X)  |  | Quarterly        |
| Early Reading End of Year Performance Report  |  | June 1           |
| Reading Excellence Grant Budget Report MUNIS  |  | Quarterly        |
| Reading Excellence End of Year Performance Report   |  | June 1           |
| <b>Division of School Improvement</b>   |  | <b>Due Date</b>  |
| ( <a href="http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=1064&amp;query=CSIF&amp;hiword=CSIF+">http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=1064&amp;query=CSIF&amp;hiword=CSIF+</a> )                     |  |                  |
| Commonwealth School Improvement Program   |  |                  |
| MUNIS Program Budget Report (105X)  |  | December 31      |
| <b>Division of Student/Family/Community Support Services</b>  |  | <b>Due Date</b>  |
| <i>School Health Services</i>   |  |                  |
| ( <a href="http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=217&amp;query=FRYSC&amp;hiword=FRYSC+">http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=217&amp;query=FRYSC&amp;hiword=FRYSC+</a> )                   |  |                  |
| School Health Coordinator Annual Activity Report  |  | June 30          |
| <b>Division of School Finance</b>   |  | <b>Due Dates</b> |
| ( <a href="http://www.kentuckyschools.net/KDE/Administrative+Resources/Finance+and+Funding/School+Finance/default.htm">http://www.kentuckyschools.net/KDE/Administrative+Resources/Finance+and+Funding/School+Finance/default.htm</a> )   |  |                  |
| (\$ ) Attendance: Growth Factor   |  | November 1       |
| Superintendent's Annual Report  |  | June 30          |
| Professional Staff Data (PSD)/Classified Staff Data (CSD)   |  | October 1        |
| Certification of Allocations to School Councils   |  | March 15         |
| Tentative Working Budget  |  | May 30           |
| Working Budget  |  | September 30     |
| Annual Financial Report (close of budget year)  |  | July 25          |
| <b>Cabinet for Families and Children, Office of FR/YSC</b>  |  | <b>Due Dates</b> |
| <i>CFC Master Agreement</i> ( <a href="http://cfc.state.ky.us/frysc/">http://cfc.state.ky.us/frysc/</a> )   |  |                  |
| FRYSC Advanced Funding Request  |  | August 15        |
| FRYSC Eligibility Count/Continued Funding Request (Dec. 1)  |  | January 15       |
| MUNIS Program Budget Report (851X)  |  | Semi-annually    |
| <b>Division of School and Community Nutrition</b>   |  | <b>Due Dates</b> |
| ( <a href="http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=1127&amp;query=Nutrition&amp;hiword=NUTRITION+">http://www.kentuckyschools.net/cgibin/MsmGo.exe?grab_id=30361716&amp;EXTRA_ARG=IMA%3DSearch&amp;host_id=1&amp;page_id=1127&amp;query=Nutrition&amp;hiword=NUTRITION+</a> ) |  |                  |
| Report and Claim for Reimbursement (enrollment, FRL eligible)   |  | Monthly          |
| Free/Reduced Price Data Report (FRL eligible end of Oct.)   |  | November         |

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**Division of Pupil Transportation****Due Date**

[http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab\\_id=30361716&EXTRA\\_ARG=IMAGE%3DSearch&host\\_id=1&page\\_id=1006&query=Buses&hiword=BUSES+](http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab_id=30361716&EXTRA_ARG=IMAGE%3DSearch&host_id=1&page_id=1006&query=Buses&hiword=BUSES+)

Annual Calendar Year Summary Report

February 28

## APPENDIX C

**AMENDMENT GUIDELINES FOR DISTRICT PLANS** Even though an extensive planning process has been used, there may be occasions when changes to the school or district plan are required to meet unexpected needs. There are some situations when an **amendment** is required:

- An amendment is required to open an object code series once a program budget has been approved in writing or electronically by the state or federal program staff in the Kentucky Department of Education. There is no limitation on over-expenditure in an approved object code series as long as the total allocation is not exceeded. The expenditure report may reflect over-expenditures and under-expenditures in individual object codes.
- An amendment is required to purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved. This is not a change in inventory procedures. Inventory procedures must follow state guidelines unless the federal guidelines are more restrictive.
- An amendment is required when there is a need for a major or substantial change to the action plan; i.e., changing a priority or goal, changing the focus of an objective or strategy, and/or significantly expanding or deleting important services to children as described in the action plan.

The local district superintendent or his/her designee submits amendments via email to the Kentucky Department of Education program contact. Results of the amendment review by Kentucky Department of Education program staff are completed within ten working days and the district is notified by email.

Download further instructions from the KDE web page:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

## APPENDIX D

### Final Budget Submissions By Grant and By Location

#### INSTRUCTIONS FOR FINAL(SEPTEMBER 30) BUDGET SUBMISSIONS FOR COMPREHENSIVE DISTRICT IMPROVEMENT PLAN

THESE TWO REPORTS MUST BE POSTED TO YOUR WEBSITE ON OR BEFORE SEPTEMBER 30TH!!!!!! (THERE ARE TWO FILES – BY GRANT AND BY LOCATION)

Download further instructions from the KDE web page:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

# APPENDIX E

## Flexible Focus Funds

### What is the Flexible Focus Fund?

The Flexible Focus Fund (FFF) was created by the legislature to begin with the 2003-2004 state budget. Basically, the allocations for five categorical programs (Professional Development, Extended School Services, Preschool, Textbooks, and Safe Schools) have been modified to permit the state and local school districts additional flexibility in the distribution of program funds while still addressing the governing statutes and serving the need and the intended student population.

Services in each program area must still be provided according to all statutes and/or regulations established for each program. As an example, the requirement to pass on 65% of the district's allocation for Professional Development to its schools is still in effect. The state is simply now giving districts flexibility in how they fund these required programs. The district now decides how much funding each program will receive to provide required services and where that funding will come from.

Download further instructions from the KDE web page:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

# APPENDIX F

## NCLB Transferability

### Grants are included in the NCLB Transfer Pool

- Title II –Teacher Quality (401X)
- Title IV – Safe & Drug Free Schools (406X)
- Title V – Innovative Strategies (334X)
- Title II, Part D – Federal Ed Tech (425X)

### Rules for Transfer

Up to 50% of any of the funds in the Pool can be re-allocated to any other funds in the Pool or to Title I (310X). No Title I funds may be allocated to the grants in the Pool. District must make written notification to KDE 30 days prior to the transfer of funds.

Download further instructions from the KDE web page:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>



# APPENDIX G

## SCHOOL AND DISTRICT IMPROVEMENT UNDER NCLB

NCLB Title I, Part A, Sections 1111 and 1116

As part of the *No Child Left Behind Act of 2001* (NCLB), states must use academic assessments and other indicators to annually review the progress of each school to determine whether the school makes adequate yearly progress. This technical assistance document briefly explains Kentucky's process for identifying schools and districts that do not make adequate yearly progress. The document also contains information about the NCLB consequences for Title I schools and districts that do not make adequate yearly progress.

### MAIN KDE WEB PAGE:

<http://www.kde.state.ky.us/KDE/Administrative+Resources/Finance+and+Funding/Federal+Program+Funding/Title+Programs/Title+I%2c+Part+A%2c+Improving+Academic+Achievement+of+the+Disadvantaged.htm>

### KDE CONTACT PERSON:

[Diane Robertson](#)

8<sup>th</sup> Floor Capital Plaza Tower

500 Mero Street

Frankfort, KY 40601

Phone: (502) 564-3791

Email: [droberts@kde.state.ky.us](mailto:droberts@kde.state.ky.us)

As part of the *No Child Left Behind Act of 2001* (NCLB), states must use academic assessments and other indicators to annually review the progress of each school to determine whether the school makes adequate yearly progress. This technical assistance document briefly explains Kentucky's process for identifying schools and districts that do not make adequate yearly progress. The document also contains information about the NCLB consequences for Title I schools and districts that do not make adequate yearly progress.

## ADEQUATE YEARLY PROGRSS (AYP)

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**Adequate yearly progress (AYP)** is the measure a state uses to determine if a school is making continuous and substantial improvement.

1. Beginning with data from 2002-03, a school is determined to have made adequate yearly progress (AYP) for a school year if the school and all subpopulations of sufficient size:
  - a. Met annual measurable objectives (AMO) in reading and mathematics. The objectives are expressed as the percent of students at proficient and above in reading and mathematics.
  - b. Showed progress (i.e., met requirements) on the "other academic indicator."
    - i. The other academic indicator is the accountability index (lagged one year) at the elementary and middle school levels. An elementary or middle school is considered to have demonstrated growth on the "other academic indicator" if the school's prior year accountability index is 80 or higher; or the school's prior year accountability index is at or above the corresponding biennial goal; or the school's prior year's accountability index is greater when compared to the accountability index from the year before.
    - ii. The other academic indicator is graduation rate at the high school level. A high school is considered to have demonstrated growth on the "other academic indicator" if the school shows progress on the prior year graduation rate when compared to the year before; or meets the goals set for each year by the Kentucky Board of Education.
  - c. Tested at least 95% of enrolled students and subpopulations of sufficient size.

2. The specific subpopulations required for reporting NCLB AYP determinations are: All students, White (non-Hispanic), African-American, Hispanic, Asian, Limited English Proficiency, Free/Reduced Lunch, and Students with Disabilities.
3. A subpopulation of sufficient size is defined for reading and mathematics AMOs as at least 10 students per grade where NCLB assessments are administered **and EITHER** at least 60 students in these combined grades **or** the number of students in the subpopulation is at least 15% of the students in these combined grades.
4. A subpopulation of sufficient size is defined for participation rate as at least 10 students per grade where NCLB assessments are administered **and** at least 60 students in these combined grades.
5. As a safe harbor, a school that has not met the reading or mathematics AMO is considered to have met the objective if the school:
  - a. Students in the particular population or subpopulation(s) have 10% fewer students scoring below proficient than last year (in reading and/or mathematics). **AND**
  - b. Students in the same population or subpopulation(s) have improved their academic index **or** have obtained an academic index of 100 or greater.
6. The method of calculation for district accountability is consistent with the method for calculating school accountability. All schools, regardless of whether they receive Title I services or not, are counted in the district accountability.
7. Adequate yearly progress (AYP) determinations are made annually for all schools. A school that receives Title I-A funds is **identified for improvement** if it fails to make AYP for two (2) consecutive years.
8. A Title I school is no longer identified for improvement once it has made AYP for 2 consecutive years.

## **NCLB CONSEQUENCES FOR TITLE I SCHOOLS NOT MAKING AYP**

If a **Title I school** does not make adequate yearly progress (AYP) for two (2) consecutive years, the school is identified for improvement and continues to be identified for improvement until it has made AYP for two (2) consecutive school years. The following information outlines the consequences while a Title I school is identified for improvement. Kentucky is using the term *tier* to define the years of not making adequate yearly progress (AYP) and the NCLB consequences. The consequences continue until the Title I school has made AYP for two (2) consecutive years.

**Tier 1 of Consequences** = 2 consecutive years of not making AYP. Tier 1 includes the following:

- **Parent Notification** – The district must notify parents with the reasons the Title I school is identified and what is being done to address the problem of low achievement.
- **Student Transfer Option (School Choice)** – The district must notify parents of students in a Title I school of the option to transfer to another public school.
- **District Technical Assistance** – The district must provide technical assistance as the Title I school develops and implements revisions in the comprehensive school improvement plan.
- **Revised Comprehensive School Improvement Plan** – The Title I school must revise its comprehensive improvement plan to address academic issues that caused the school to be identified.
- **Funds for Professional Development** – The Title I school must spend at least 10% of the Title I school allocation on professional development.

**Tier 2 of Consequences** = 3 years of not making AYP. Tier 2 includes all of the consequences listed in Tier 1 and the following:

- **Supplemental Educational Services** – The district must implement supplemental educational services for eligible students in a Title I school that has not made AYP for 3 years.

**Tier 3 of Consequences** = 4 years of not making AYP. Tier 3 includes all of the consequences listed in Tier 1 and Tier 2 and the following:

- **Corrective Action** – The district must take corrective action toward a Title I school that has not made AYP for 4 years.

**Tier 4 of Consequences** = 5 years of not making AYP. Tier 4 includes all of the consequences listed in Tier 1, Tier 2 and Tier 3 and the following:

- **Plan for Restructuring** – The district must write a plan for alternative governance for a Title I school that has not made AYP for 5 years.

**Tier 5 of Consequences** = 6 years of not making AYP. Tier 5 includes all of the consequences listed in Tier 1, Tier 2, Tier 3, Tier 4 and the following:

- **Implement Restructuring** – The district must implement the plan for alternative governance for a Title I school that has not made AYP for 6 years.

## **District Responsibilities for a Title I School in Tier 1 Consequences**

The district should ensure that all schools understand the components of adequate yearly progress and assist schools in interpreting the NCLB federal accountability report. The district may facilitate planning for public school choice before assessment results are available. For example, transportation and communication plans may be developed before implementation is required. When one of its Title I schools is identified for improvement (Tier 1), the district must:

- Ensure that parents are notified regarding identification for improvement;
- Ensure that public school choice is provided for children whose parents wish to transfer them from the Title I school identified for improvement; and
- Ensure that the identified school receives technical assistance, both during the revision of its comprehensive school improvement plan and throughout the plan's implementation.

### **Notification to Parents**

Meaningful parental involvement is one of the cornerstones of reform contained in the *No Child Left Behind Act*. It is essential that the district and school communicate with parents throughout the school improvement process and welcome them as key partners in addressing the academic issues that led to the school being identified for improvement. Information to parents must be in an understandable and uniform format. It must also, to the extent practical, be in a language the parents can understand. The initial notification to parents must include the following:

1. An explanation of what the identification means and how the school compares in terms of academic achievement to other schools served by Title I in the district and in Kentucky;
2. The reason(s) for the school being identified for improvement;
3. An explanation of what the school is doing to address the problem of low achievement;
4. An explanation of what the district is doing to help the school address the achievement problem;
5. An explanation of how the parents can become involved in addressing the academic issues that led to identification; and
6. An explanation of the parents' options to transfer their child to another public school that is not identified for improvement.

### **Student Transfer Option (Public School Choice)**

The district is required to offer students enrolled in the identified school the option to transfer to another public school in the school district that has **not** been identified for improvement. The school of choice does **not** have to receive Title I services as long as it is not identified for improvement.

There may be very limited circumstances under which the option to transfer may not be possible, particularly in some sparsely populated areas. For example, a district with only one school at a particular grade level, or a district in which all schools at a grade level are identified for improvement, will not be able to offer the option to transfer to another public school in the district. In such cases, to the extent practical, the district must enter into cooperative agreements with other nearby school districts to permit transfers. In limited circumstances where the option to transfer is not possible, the district may offer supplemental educational services during the school's first year of improvement.

As soon as the Title I school is identified for improvement, the district must immediately notify parents of the school choice option. The district must make choice available for students the first day of the school year. The notification must provide parents with enough relevant information to help them decide what school is best for their child. At a minimum, the district must inform parents about the academic achievement level of students at the school or schools to which the child may transfer, but it may also choose to include other information, such as a description of special academic programs,

facilities, before-or-after school programs, the professional qualifications of teachers in the core academic subjects or parent involvement opportunities.

The district must give all students in the identified school the opportunity to transfer to another public school. In implementing this option to transfer, there may be circumstances in which the district needs to give priority to the lowest-achieving children from low-income families. For example, if not all students can attend their first choice of schools, the district would give priority in assigning spaces to the low-achieving low-income students. If the district does not have sufficient funding to provide transportation to all students who wish to transfer, it would apply this priority in determining which students would receive transportation. The district must determine low-income using the same data that it uses in allocating Title I funds to schools. Usually low-income is based on free and reduced meal data. The district has flexibility in determining which students from low-income families are lowest achieving. Students from low-income families might be rank-ordered based on their achievement levels (determined by using objective educational measures).

The district must offer more than one choice to students attending an identified school if there is more than one school in the district that is not identified for improvement. The district may **not** use lack of capacity to deny students the option to transfer but may take capacity into consideration in deciding which choices to make available to students in the identified school.

The district may set timelines for parents to make their decision on choice. The district must set a reasonable deadline by which parents must apply and ensure that the parents have a sufficient time and information to make an informed decision about selecting a school. The district should ensure that policies for receiving choice-related communications from parents do not impede parents' opportunities to exercise choice options. Parents should be able to communicate their choices in a variety of ways, including by standard mail, email or fax. The district should confirm with parents that it has received their communication regarding choice.

The district makes the final decision on the school each eligible child will attend. The district must take parent's preferences into consideration in making the decision. The district might allow parents to rank-order their preference among the schools that are available to receive transfer students. Once the district has made its decision, parents must have the option to decline the opportunity to move their child to the new school.

The district may use Title I funds as well as other federal, state, local and private resources to pay for transportation for school choice required as part of the school improvement process. The district must offer choice to all students in an identified Title I school until the school has made AYP for 2 consecutive years and is no longer identified for improvement. The district must provide transportation for those students choosing the option to transfer while the school is identified for improvement. The district must permit the student to remain in the new school until he or she has completed the highest grade in the school. However, the district is no longer obligated to provide transportation for the student after the end of the school year in which the student's school of origin is no longer identified for improvement.

### ***District Technical Assistance***

The district must provide technical assistance to the Title I school(s) identified for improvement. The technical assistance must be provided as the school revises and implements its comprehensive school improvement plan. Technical assistance is practical advice that addresses specific areas for improvement. The technical assistance may be provided by the district, the Kentucky Department of Education, an institution of higher education, a private not-for-profit organization or a for-profit organization, an education service agency or another entity with experience in helping schools improve academic achievement. The technical assistance must include:

1. Assistance in analyzing data from CATS and examples of student work to identify and to address problems in instruction and problems, if any, in implementing Title I parental involvement requirements and to address solutions to the identified problems;

2. Assistance in identifying and implementing professional development, instructional strategies and methods of instruction that are based on scientifically-based research and that have been proven effective in addressing the specific instructional issues that caused the school to be identified for improvement;
3. Assistance in analyzing and revising the school's budget so that the school's resources are more effectively allocated to the activities most likely to increase student academic achievement and to remove the school from school improvement status.

It is crucial that the district align its assistance with the comprehensive improvement plan being revised by the school. The revisions in the improvement plan and the district assistance should be based on a close analysis of the school's demographic and achievement data, such as subpopulation performance and a comprehensive needs assessment that identifies both strengths and weaknesses. This close analysis will enable the district to target more accurately available resources to address identified deficiencies. The goals, objectives and actions that result from the comprehensive analysis must realistically address the school's needs and systematically move it toward improvement.

#### **District Obligation for the Option to Transfer (School Choice) and Supplemental Services**

The district's obligation for choice-related transportation and supplemental educational services is equal to 20 percent of its district's Title I-A allocation unless a lesser amount is needed. Within the 20 percent, the district must spend:

1. An amount equal to 5 percent for choice-related transportation;
2. An amount equal to 5 percent for supplemental educational services; and
3. An amount equal to 10 percent for choice-related transportation or supplemental educational services or both, as the district determines.

The phrase "an amount equal to" means that the funds required to pay the costs of choice-related transportation and supplemental services need not come from the Title I allocation but may be provided from other federal, state, local and private sources. Title I improvement funds; regular Title I-A funds; Title V-A funds; and state/local funds may be used. Additionally, the district may use funds transferred to Title I-A from other federal education programs to pay such costs. Programs eligible for transfers include Title II-A Improving Teacher Quality Grants; Title II-D Educational Technology Grants; Title IV-A Safe and Drug-Free Schools and Communities Grants; and Title V-A Innovative Program Grants. A district not identified for improvement under Title I may **transfer up to 50 percent** of each fiscal year's funds for the applicable programs. A district identified for improvement under Title I may **transfer up to 30 percent** of each fiscal year's funds for the applicable programs. When a district is identified for improvement, transferred funds must be used for district improvement activities. A district identified for corrective action may **not** transfer funds from one program to another.

The 20 percent must be applied to the total Title I-A allocation including any transferred funds. The 20 percent must be calculated before the district takes any reservations "off the top" of its Title I-A allocation for administrative costs, parent involvement, private school equitable participation or other purposes.

Some districts, in a given year, will not be required to provide supplemental educational services because they have no schools identified for Tier 2 consequences. In this situation, the district must spend the equivalent of 20 percent of the Title I-A allocation on choice-related transportation or a lesser amount that satisfies all of the demand from the parents of students attending identified schools.

## **School Responsibilities for a Title I School in Tier 1 Consequences**

The process of school improvement begins with the school revising its comprehensive improvement plan to address the academic issues that caused it to be identified for improvement.

### ***Revision of Comprehensive School Improvement Plan***

A Title I school identified for Tier 1 consequences must revise its comprehensive improvement plan. The purpose of the plan is to improve the quality of teaching and learning in the school. The plan must continue throughout the time that the school is identified for improvement. The school must revise its plan in consultation with parents, school and district staff and outside specialists. If applicable, the school council should consider the recommendations of the scholastic audit/review and decide how to amend the plan in light of the scholastic findings. The revised plan must:

1. Incorporate strategies based on scientifically-based research that will strengthen the core academic subjects in the school and address the specific academic issues that caused the school to be identified for improvement and may include a strategy for the implementation of a comprehensive school reform model;
2. Adopt policies and practices concerning the school's core academic subjects that have the greatest likelihood of ensuring that all groups of students (economically disadvantaged students; students from major racial and ethnic groups; students with disabilities; and students with limited English proficiency) enrolled in the school will meet the proficient level of achievement by 2014 as measured by CATS;
3. Provide an assurance that the school will spend at least 10% of its Title I school allocation for professional development that directly addresses academic achievement;
4. Specify how the professional development funds will be used to remove the school from its improvement status;
5. Establish specific annual, measurable objectives for continuous and substantial progress of each group of students that will ensure that all groups of students meet the proficient level of achievement by 2014 as measured by CATS;
6. Describe how the school will provide written notice about the identification to parents of each student enrolled in the school, in a format and, to the extent practical, in a language that the parents can understand;
7. Specify the responsibilities of the school, the district and the Kentucky Department of Education, including the technical assistance to be provided;
8. Include strategies to promote effective parental involvement in the school;
9. Incorporate, as appropriate, activities before school, after school, during the summer and during any extension of the school year; and
10. Incorporate a teacher-mentoring program.

The district must establish a peer review process for the revised school comprehensive improvement plan. Peer reviewers should include teachers and administrators from schools or districts similar to the one in improvement but significantly more successful in meeting the learning needs of their students. Staff with demonstrated effectiveness and recognized expertise in school improvement will be able to evaluate the quality of the plan and make suggestions. Once the peer review has been completed, the district must work with the school to make any necessary changes and must approve the plan as soon as it satisfactorily meets the requirements. The school must begin implementing the revised plan as soon as the district approves the plan.

## **Funds for Professional Development**

As a part of revising its comprehensive school improvement plan, the **identified school must spend at least 10% of its Title I-A school allocation for each fiscal year that the school is in school improvement status for professional development.** The funds must be used to provide the teachers, paraprofessionals and principals high-quality professional development that:

- Directly addresses the academic achievement problem that caused the school to be identified for school improvement. In most cases, the professional development will focus on the teaching and learning process, such as increasing content knowledge, the use of scientifically based instructional strategies and the alignment of classroom activities with academic content standards and assessments.
- Meets the requirements for highly qualified teachers and paraprofessionals. The academic success of students correlates highly with the qualifications and skills of their teachers. **and**
- Is provided in a manner that affords increased opportunity for participating in the professional development.



## **District Responsibilities for a Title I School in Tier 2 Consequences**

The district must continue all of the consequences in Tier 1 and must make supplemental educational services available for low-income students attending a school that does not make AYP after one year of school improvement (3 years of not making AYP). Parents of eligible students may continue to choose the option to transfer **or** may choose supplemental services.

### ***Supplemental Educational Services***

Supplemental educational services provide extra academic assistance for low-income students attending a school identified for Tier 2 consequences. The purpose of these services is to ensure that the students increase their academic achievement, particularly in reading, language arts and mathematics. These academic services may include assistance such as tutoring, remediation, and academic intervention. Instruction must take place outside the regular school day, such as before or after school, on weekends, or during the summer. Supplemental educational services must be of high quality, research based and specifically designed to increase student academic achievement. Parents select a supplemental service provider from the state-approved provider list.

District responsibilities focus on notifying parents about the availability of supplemental educational services, arranging for the services to be provided and monitoring the services for the purpose of improving academic achievement. Specifically, the district must:

1. Notify parents of the supplemental educational services option;
2. Give parents a list of state-approved providers and help parents choose a provider, if requested;
3. Determine how the lowest-achieving eligible students will be selected to receive services if not all eligible students can be served;
4. Agree, along with the parents and provider, on “achievement goals” for the student; **and** enter into an agreement with a provider selected by parents of an eligible student;
6. Assist the KY Department of Education in identifying potential providers within the district;
7. Provide the information the KY Department of Education needs to monitor the quality and effectiveness of the services offered by providers;
8. Protect the privacy of students who receive supplemental educational services;

Eligible children are those children from low-income families attending Title I schools identified for Tier 2 consequences. In most districts in Kentucky, low-income is based on eligibility for free/reduced meals. In circumstances where more students request services than the district can fund, the district must place a priority on serving those low-income students who are the lowest achieving. In this situation, the district should use objective criteria to determine the lowest-achieving students. For example, the district may focus services on the lowest-achieving eligible students in the subject area that caused the school to be identified for improvement. The services should be tailored to meet the instructional needs of eligible students to increase their academic achievement and help them attain proficiency in meeting the state’s achievement standards.

Parents are to be active participants in the supplemental educational services program. At the **local level**, parents will choose the supplemental educational service provider for their children from among the providers approved by the state. In general, the district must work to ensure parents have easy-to-understand information about supplemental educational services. The district must provide parents with information on the availability of supplemental educational services; the identity of approved service providers; and, at a minimum, a brief description of the services, qualifications, and demonstrated effectiveness of each provider. In addition, the district must assist parents in selecting a provider, if such help is requested. The district may provide additional information, as appropriate. Such communications with parents must occur at least annually and must be in an understandable and uniform format. To the extent possible, communications must also be in a language parents can understand.

The district may establish a reasonable deadline by which parents must request services. In establishing this timeframe, the district must ensure that the parents have sufficient time and information to make an informed decision about requesting supplemental educational services and selecting a provider. The district should work together with parents to ensure that parents have ample information, time, and opportunity to take advantage of supplemental educational services.

At the **provider level**, parents, the school district, and the provider chosen by parents must develop and identify specific academic achievement goals for the student, measures of student progress, and a timetable for improving achievement. In the case of a student with disabilities, or a student covered under Section 504, these decisions must be consistent with the student's individualized education program under section 614(d) of the IDEA or with the student's individualized education services under Section 504. All parents whose children receive supplemental educational services must be regularly informed of their student's progress.

Once parents select a provider for their child, the provider must enter into an agreement with the district that includes the following:

1. Specific achievement goals for the student, which must be developed in consultation with the student's parents;
2. A description of how the student's progress will be measured and how the student's parents and teachers will be regularly informed of that progress;
3. A timetable for improving the student's achievement that, in the case of a student with disabilities, must be consistent with the student's individualized education program under section 614(d) of the Individuals with Disabilities Education Act and in the case of a student covered under Section 504, must be consistent with the provision of an appropriate education under Section 504;
4. A provision for termination of the agreement if the provider fails to meet student progress goals;
5. Provisions governing payment for the services by the district that may include provisions addressing missed sessions;
6. A provision prohibiting the provider from disclosing to the public the identity of any student eligible for or receiving supplemental educational services without the written permission of the student's parents; and
7. An assurance that supplemental educational services will be provided consistent with applicable health, safety and civil rights laws.

The district is encouraged to use cost-effective methods in designing the agreement. For instance, the district may want to design a generic agreement that can be tailored to a particular student and provider. A district that is an approved provider must prepare an agreement that contains the information listed. Although the district is not formally entering into an agreement with itself as the provider, the information is necessary so that parents know the achievement goals for the student, how progress will be measured and the timetable for improving the student's achievement. If the district fails to meet the student's progress goals, the parent should be able to request services from another provider, if one is available. If one is not immediately available, the district should contact the Kentucky Department of Education.

After consultation with the parents, the district and the provider must agree to a schedule of informing parents and the child's teacher(s) about student progress. The intent of this requirement is to ensure that students are improving their academic achievement and that instructional goals are being met. The district may, at its discretion, use funds reserved for supplemental education services to transport students to and from approved providers.

The provider must continue to provide supplemental educational services to students who are receiving the services until the end of the school year in which the services were first received. However, the sufficiency of funds and the intensity of services selected (such as the number of sessions per week) may limit the availability of services to a shorter period of time.

The district needs to be prepared to terminate agreements with the provider if the established goals and timetables are not met, or if the provider fails to comply with applicable health, safety, and civil rights laws. The process for terminating services should be written into the initial agreement between the district and provider. Parents may withdraw their child from services if they are not satisfied with

the program. In such instances, the district may allow the parent to select another provider that school year, if funds are available.

The district may use Title I funds as well as other federal, state, local and private resources to pay for supplemental educational services required as part of the school improvement process. The per-child cost for supplemental educational services must be the lesser of the actual cost of the services or the per-child allocation of Title I funds to the district. The per-child allocation is determined by dividing the district's Title I-A allocation by the number of children from families below the poverty line (based on Census poverty data, not federal school lunch data) in the district. This cap applies to the cost of instructional services only. The district may incur additional per-child costs related to the administration of supplemental educational services, transportation of students to a provider or appropriate accommodations for students with disabilities. The district may provide transportation to service providers but is not required to do so. Transportation costs to service providers may not be counted toward satisfying the district's obligation to spend up to an amount equal to 20 percent of its Title I-A allocation on choice-related transportation and supplemental educational services.

The district may arrange for paying a provider for services in a number of ways. The district may pay the provider directly for such services. Alternatively, the district may issue certificates or coupons to parents of an eligible student for them to "purchase" services from an approved provider. For example, a certificate may entitle parents to obtain, from a provider of their choice from the state's approved list, a certain number of hours of services or sessions for their student. As the student receives the services, the parent would redeem the certificate, which the provider would then submit to the district for payment. With any payment system, the district must still establish an agreement between the district and provider. Supplemental educational services must be provided until the school has made AYP for 2 consecutive years and is no longer identified for improvement.

### **School Responsibilities for a Title I School in Tier 2 Consequences**

The consequences continue until the identified school has made AYP for 2 consecutive years. The school must continue to implement the revisions in its comprehensive improvement plan. The school must continue to spend at least 10% of its Title I school allocation for each fiscal year that the school is in school improvement status for professional development.

### **District Responsibilities for a Title I School in Tier 3 Consequences**

The district must continue all of the consequences in Tier 1 and Tier 2 and must take **corrective action** toward a Title I school if it fails to make AYP after two (2) years of improvement (4 years of not making AYP). If a Title I schools fails to make AYP after two (2) years of improvement, the district must take at **least one** of the following actions:

1. Replace school staff relevant to the improvement;
2. Institute and implement a new curriculum;
3. Significantly decrease management authority in the school;
4. Appoint an outside adviser;
5. Extend the school day or year; or
6. Restructure the internal organization of the school.

The district must publish and disseminate information regarding any corrective action taken at a school to the public and to the parents of each student enrolled in the school in an understandable and uniform format. The information should, to the extent practical, be provided in a language that the parents can understand. The information may be disseminated through such means as the Internet, the media and public agencies. The replacement of staff would require due process and would have to be done within the constraints of the appropriate Kentucky revised statutes.

### **School Responsibilities for a Title I School in Tier 3 Consequences**

The consequences continue until the identified school has made AYP for 2 consecutive years. The school must continue to implement the revisions in its comprehensive improvement plan. The school must continue to spend at least 10% of its Title I school allocation for each fiscal year that the school is in school improvement status for professional development.

## **District Responsibilities for a Title I School in Tier 4 and Tier 5 Consequences**

The district must continue all of the consequences in Tier 1, Tier 2, Tier 3 and must **develop** a restructuring plan for a Title I school if it fails to make AYP after one year of corrective action (5 years of not making AYP). The district must prepare a plan and make necessary arrangements to carry out alternative governance arrangements for the school consistent with state law. If the school fails to make AYP after 2 years of corrective action (6 years of not making AYP), the district must then **implement** the restructuring plan. The plan must include one of the following:

1. Reopening the school as a public charter school.
2. Replacing all or most of the school staff (including the principal) that are relevant to the failure to make adequate yearly progress.
3. Entering into a contract with an entity, such as a private management company, with a demonstrated record of effectiveness, to operate the public school.
4. Turning the operation of a school over to the state educational agency if permitted under state law and agreed to by the state.
5. Any other major restructuring of the school's governance arrangement that makes fundamental reforms, such as significant changes in the school's staffing and governance, to improve student achievement in the school and that has substantial promise of enabling the school to make adequate yearly progress.

## **School Responsibilities for a Title I School in Tier 4 and Tier 5 Consequences**

The consequences continue until the identified school has made AYP for 2 consecutive years. The school must continue to implement the revisions in its comprehensive improvement plan. The school must continue to spend at least 10% of its Title I school allocation for each fiscal year that the school is in school improvement status for professional development.

## **District Responsibilities for a District Identified for Improvement**

Data for all schools (regardless of whether they receive Title I funds or not) are counted in the district AYP determination. The district is accountable based on the same measures used to determine if a school made AYP. Tested subpopulations of students that are not large enough to meet the minimum group size at an individual school will, in many cases, reach or surpass that number at the district level and be included in the calculation of whether or not the district made adequate yearly progress.

When a district does not make AYP for 2 consecutive years, there are requirements for revising the district comprehensive improvement plan.

## **Revisions to the District Comprehensive Improvement Plan**

The purpose of the plan is to improve student achievement throughout the district. Therefore, the plan overall must identify actions that, if implemented, have the greatest likelihood of accomplishing this goal. Specifically, the plan must:

1. Incorporate scientifically based research strategies;
2. Identify actions with the greatest likelihood of improving student achievement;
3. Address professional development needs of staff;
4. Include specific measurable achievement goals and targets for each subpopulation of students;
5. Address the teaching and learning needs and academic problems of low-achieving students;
6. Incorporate, as appropriate, activities before school, after school, during the summer and during an extension of the school year;
7. Specify responsibilities of the state and district;
8. Include strategies to promote effective parental involvement in the schools served by the district.

When a district is identified for improvement, it must reserve at least 10% of its Title I-A allocation for professional development for instructional staff that is specifically designed to improve classroom teaching. The district must continue to reserve and use these funds for professional development for each fiscal year it is identified for improvement. In this 10% total the district may include the Title I-A funds that a school within the district reserves for professional development when it is identified for improvement. However, the district may not include in the total any part of the funds designated to help teachers who are not highly qualified become highly qualified. The district is identified for improvement until it has made AYP for 2 consecutive years.

## **State Responsibilities for a District Identified for Improvement**

### **Notification to Parents and Technical Assistance**

When a district is identified for improvement, the Kentucky Department of Education must promptly notify the parents of each student enrolled in the schools served by that district. In the notification the state must explain the reasons for the identification and how parents can participate in improving the district. In addition to notifying parents, the state must broadly disseminate its findings using methods such as the Internet, the news media and public agencies. If requested, the Kentucky Department of Education must provide or arrange for the provision of technical or other assistance to the district identified for improvement.

### **Corrective Action**

The Kentucky Department of Education must take corrective action in a district that has not made AYP for 4 years. Because the healthy functioning of the district is so crucial to school and student academic success, the state may, at any time during the improvement process, identify the district for corrective action. The state must continue to provide technical assistance while instituting any corrective action. The state must take **at least one** of the following corrective actions, as consistent with state law, in a district that has not made AYP for 4 years:

1. Deferring programmatic funds or reduce administrative funds;
2. Instituting and fully implementing a new curriculum, including appropriate professional development;
3. Replacing district personnel relevant to the failure;
4. Removing particular schools from the jurisdiction of the district and establishing alternative arrangements for public governance and supervision of the schools;
5. Appointing a receiver or trustee to administer the affairs of the district in place of the superintendent and school board;
6. Abolishing or restructuring the district.
7. Authorizing students to transfer from a school operated by the district to a higher-performing public school operated by another district. If it offers this option, the state must provide transportation (or the costs of transportation) to the receiving school. This corrective action must be carried out in conjunction with at least 1 additional action.

The consequences continue until the district had made AYP for 2 consecutive years.

## Resources

1. For questions about **adequate yearly progress (AYP)**, contact Cindy Owen or Rhonda Sims in the Office of Assessment and Accountability at (502) 564-2256 or 564-4394.
2. Guidance from the U.S. Department of Education may be helpful and provide additional information. The guidance may be found at the U.S. Department of Education's web site at <http://www.ed.gov/policy>. The following are available:
  - **LEA and School Improvement** – This guidance explains the school and district improvement provisions in NCLB and Title I regulations.
  - **Public School Choice** – This guidance explains the school choice consequence.
  - **Supplemental Educational Services** – This guidance explains the supplemental educational services consequence.
3. For information and questions about **supplemental educational services**, contact Corlia Logsdon in the Division of Equity and Federal Program Resources at (502) 564-3791 or by email. For information on becoming a supplemental educational services provider, go to the Kentucky Department of Education's web site at <http://www.education.ky.gov/>.
4. For questions regarding **district and school improvement and public school choice**, contact any of the following in the Division of Equity and Federal Program Resources at (502) 564-3791 or by email.

Diane Robertson

[droberts@kde.state.ky.us](mailto:droberts@kde.state.ky.us)

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Joe Whitworth

[jwhitwor@kde.state.ky.us](mailto:jwhitwor@kde.state.ky.us)



# APPENDIX H

## REACHING ACHIEVEMENT GAP TARGETS

### MAIN KDE WEB PAGE:

[HTTP://WWW.EDUCATION.KY.GOV/KDE/INSTRUCTIONAL+RESOURCES/CLOSING+THE+GAP/DEFAULT.HTM](http://www.education.ky.gov/kde/instructional+resources/closing+the+gap/default.htm)

### KDE CONTACT:

Roger Cleveland, Ed. D.  
500 Mero Street, 1st Floor  
Frankfort, KY 40601  
Phone: (502) 564-2703  
Fax: (502) 564-2039  
E-mail: [rclevela@kde.state.ky.us](mailto:rclevela@kde.state.ky.us)

Legislation detailed in the federal No Child Left Behind legislation and KRS 158.649 (SB 168) require schools to identify and address achievement gaps between majority and minority groups of students. Schools must analyze achievement data each year to determine if significant performance differences exist between majority students and minority groups, and set two-year targets beginning in 2003 that will close the achievement gaps in their school by 2014. Specifically targeted are racial minorities, students with disabilities, gender disparities, low socioeconomic groups, and students with Limited English Proficiency or who qualify for English as a Second Language Programs. This planning framework for schools is designed to meet all of the initial requirements for the No Child Left Behind act, and KRS 158.649, which are listed below.

- Curriculum alignment within the school and between schools that send or receive the school's students that will help to reduce achievement gaps
- Evaluation and assessment strategies to continuously monitor and modify instruction to meet student needs and support proficient student work that will help to reduce achievement gaps
- Professional development to address the goals of the plan that will help to reduce achievement gaps
- Parental communication and involvement that will help to reduce achievement gaps
- Attendance improvement and dropout prevention that will help to reduce achievement gaps
- Technical assistance that will be accessed that will help to reduce achievement gaps

### Local Board Determination of Biennial Targets

Based on the disaggregated biennial assessment results, the local board will determine if each school achieved its biennial targets for each group of students. Only data for a group of students including ten (10) or more students will be considered when the board makes its determination. This local board action will occur for the first time in September 2005, and in each odd numbered year after that.

The school-based decision making council (or the principal if there is not a council) will not be required to seek superintendent and board approval of the plan as soon as the school meets its biennial target for reducing the gap in student achievement for the various groups of students identified, including racial minorities, students with disabilities, gender disparities, low socioeconomic groups, and students with Limited English Proficiency or who qualify for English as a Second Language Programs

### **When Targets Are Missed in the First Biennium**

If a local board determines that a school has not met its biennial target to reduce the identified gap in student achievement for a group of students, the local board shall require the council (or the principal if no council exists) to submit revisions to the comprehensive school improvement plan. Once the revisions are complete the superintendent will review and approve the plan.

The revised plan must include the following:

- A description of how the school will use professional development funds and funds allocated for continuing education to reduce the school's achievement gap
- A description of how the school will meet the academic needs of the students including racial minorities, students with disabilities, low socioeconomic groups, and students with Limited English Proficiency. Gender disparities must also be addressed.

### **When Targets Are Missed for Two Biennia**

If a school fails to meet its targets to reduce the gap in student achievement for any student group for two (2) successive biennia, the superintendent is required to report this information to the commissioner of education. Then, the comprehensive school improvement plan will be subject to review and approval by the Kentucky Department of Education and the school will be required to submit an annual status report on their progress to KDE. The Department of Education may provide assistance to schools as it deems necessary to assist a school in meeting targets for reducing achievement gaps.

### **Resources to Assist Schools**

The Division of Equity provides resources on their web page to assist schools in identifying gaps and the development and implementation of appropriate educational interventions at student and systems levels.